



Building Culture Strategically

A Team Approach for Corrections



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FOREWORD

As the work of prisons, jails, and community corrections grows more complex and comes under increasing public scrutiny, it becomes more important that we think, plan, and manage strategically and better understand our work cultures. This guide, a product of the National Institute of Corrections' (NIC's) Institutional Culture Initiative, presents a model designed to produce higher quality work, build collaboration and interdependence, create safer and more secure environments, and, ultimately, help correctional facilities move strategically toward a more positive culture that will improve the quality of life for both staff and offenders.

This is not strategic planning as you know it. The model is designed for implementation at the facility level and is grounded in the understanding that the most effective strategic planning incorporates an examination of the facility's organizational culture. Accordingly, the model involves staff at all ranks and from all parts of the facility in the work of exploring their facility's culture and setting its direction within the context of the department's vision, mission, and goals.

Like other models of strategic planning, this model leads to the development of a written plan, but it does not end there. The model's design promotes the development of the staff's ability to think strategically—to see the long-term consequences of their decisions and actions and understand the impact of those decisions and actions on the facility as a whole. Strategic planning thus becomes a dynamic and ongoing process for dealing with recurring and new challenges in the facility.

This guide also provides a strategic management model to help your facility implement its strategic plan. The strategic management model is designed to build the capacity of managers and staff to think, manage, and respond strategically, thereby ensuring that the decisions and actions of everyone in the facility reflect the mission and vision set forth in its strategic plan.

The support of the central office is important to the success of an individual facility's strategic planning and management initiatives. State correctional agencies can provide some of the data and expertise a facility might need and help communicate the importance of planning and culture examination to staff and other stakeholders. NIC encourages state agencies to support their facilities that enter into this work.

NIC is pleased to share this guide with you. You may want to work only with the planning section or only with the management section. If you are looking for a “quick fix” or a shortcut, this guide is not for you. However, if you want to challenge people throughout the facility to think and manage strategically, to help them see how planning can benefit individuals as well as the facility, to explore the culture of your facility and set the direction for change where it is needed, to increase collaboration and communication throughout the facility, and to develop a blueprint for managing that will move the facility forward—then this guide will serve you well.

Morris L. Thigpen

Director

National Institute of Corrections

PREFACE

The models of strategic planning and management presented in this guide were developed as part of the National Institute of Corrections' (NIC's) Institutional Culture Initiative. NIC recognized that the problems so often experienced by state correctional agencies and facilities were symptoms of more profound issues. To address these issues in a way that would achieve more lasting results required going beneath surface symptoms to begin to identify, understand, and address underlying issues and causes.

To this end, NIC acknowledged the importance of examining the culture of the facilities where problems occurred. By **culture** we mean the values, assumptions, and beliefs the people in an organization hold that drive the way they think and behave within the organization. NIC believed that encouraging facility managers and staff to dig below the surface—not just to look at *what* is happening but, more importantly, to discover *why*—could help them bring about more lasting and profound change.

The Institutional Culture Initiative focuses on the major influences in developing a positive culture within state correctional institutions. NIC funded five projects under the initiative: Institutional Culture Assessment; Mission Change; Strategic Planning, Management, and Response; Leading and Sustaining Change; and a course entitled “Promoting a Positive Corrections Culture.” The agency also later funded an evaluation of these projects to determine how successful they were in meeting the goals of the initiative.

This guide was developed under the Strategic Planning, Management, and Response project, which encompassed six tasks:

1. Identify or develop a strategic planning model/process useful to facilities.
2. Develop a strategic management model/methodology to be used in facilities.
3. Develop a strategic response model/methodology to be used in facilities.
4. Prepare a guide that provides detailed and specific information and materials that allow facilities to use the models and train staff in their application.
5. Develop a process to measure the effectiveness of the models.
6. Write a literature review summarizing information related to strategic planning, management, and response.

The project team began by developing a survey about work related to strategic planning, management, and response. We received responses from all 50 state correctional agencies. The team also reviewed strategic planning documents from a number of states to understand their planning process and outcomes.

Highlights of the survey findings include the following:

- Forty-five of the fifty state correctional agencies (90 percent) had been and were currently involved in strategic planning.
- The personnel involved in the planning process in most states were agency leaders (95 percent of the states), wardens/administrators (89 percent), senior managers (91 percent), and middle managers (75 percent). Less than half of the states (39 percent) reported involving line staff.
- Most states assigned responsibility for implementing the strategic plan to agency leaders (95 percent), wardens/administrators (64 percent), and senior managers (61 percent). Less than half (39 percent) said that middle managers were responsible for plan implementation, and less than 15 percent indicated that staff were responsible.
- States expected a variety of outcomes from their planning process. These included better decisionmaking (84 percent), increased efficiency (80 percent), improved organizational communications (77 percent), improved understanding of agency/facility functioning (70 percent), increased effectiveness (66 percent), enhanced leadership capacities (61 percent), increased public support (59 percent), and improved public relations (57 percent). Only 39 percent of the agencies said they expected to gain more resources.

In reviewing the data, the team identified a subsample of 20 states from which we wanted to gather additional information. We reviewed these states' strategic plans along with manuals that the states had developed to guide the planning process and define its necessary components. Some states had done strategic planning only at the agency level (bureau or department). A few had done strategic planning at the facility level. Some had excellent experiences with strategic planning, while others had unsuccessful experiences. Some said they were engaged in strategic management, and many others indicated they were not.

The formal planning documents reflected a similar approach to planning, which culminated in a document that could be used to guide the agency's work for several years and assess progress toward achieving the agency's objectives. Although there were differences in the format of the state plans we reviewed, most contained mission and vision statements and a discussion of the values that underlie them, goals, objectives, and action plans. Some plans included information from a SWOT analysis (an examination of internal strengths and weaknesses and external threats and opportunities). Some identified strategic issues; some explored trends that might

affect the state's correctional system. Some included various scenarios the department might face. Some clearly defined outcomes and performance measures; others did not. Some plans were formatted as well-designed publications, whereas others were simply posted on the state's Web site.

Based on telephone interviews with people from these 20 state correctional agencies, the team identified 4 agencies about whose experiences with and hopes for strategic planning and management we wanted to learn more. The team made site visits to these four states, during which team members met with management and staff in the central office and at the facility level to learn more about their experiences with strategic planning and (in two states) its relationship to culture examination. The information gathered in these interviews helped the team develop the models of strategic planning and management presented in this guide.

At the same time, three members of the team conducted a review of the literature about strategic planning, management, and response to determine the essential elements of strategic planning processes and their application in the management of organizations. The review (see appendix G) extended to the subjects of organizational culture, leadership, change, and assessment and performance measurement—all essential to comprehensive strategic planning. Most of the material the team found came from the private and public sectors and was unrelated to corrections. The bibliography in this guide also reflects the depth and diversity of the literature review.

The literature review uncovered numerous definitions of strategy, being strategic, strategic planning, and strategic management. Many schools of thought on these subjects and many models of strategic planning and, to a lesser extent, strategic management have evolved over the past 50 years. Most of the models eventually cover the same kinds of information, which only rarely includes information about an organization's culture. Some models focus on establishing a marketplace niche and competitive advantage. Some emphasize an organization's need to be responsive to its environments. Some place the primary (in a few instances, the sole) responsibility for developing a vision and plan on the leader. Some involve external stakeholders; many do not. Some are linear, moving clearly from one step to another, while others are convoluted and complex. Some require a great deal of quantifiable data. Some explain what to do once an organization develops its plan, while others go into great detail about measuring outcomes. Some are prescriptive about what the plans should involve; others are descriptive about how to do the work. Most recently, a few writers have addressed the importance of organizational learning and culture examination.

Based on the information gathered from the survey, interviews, site visits, and literature review, the team determined that corrections would be best served by new models of strategic planning and management specifically designed for the field. We knew the models had to:

- Be facility specific.
- Incorporate lessons learned while offering fresh perspectives on the challenges facilities face.
- Have strategic thinking at their core.
- Include the work of culture examination.
- Address issues of leadership, management, and change.
- Stimulate enthusiasm and energy for the work by offering new approaches and perspectives.
- Allow for flexibility and adaptability to changing environments.
- Involve staff at all levels and from all departments and, where possible, offenders.
- Initiate an ongoing process that encourages the emergence of new issues and strategies to deal with recurring and new challenges.

We also knew the models had to be dynamic, multidimensional, highly interactive, and free of jargon from other fields.

The new models of strategic planning and management presented in this guide meet these criteria. Using the familiar puzzle Rubik's Cube® to recast strategic planning and management as a process of building culture, the models:

- Deal with aspects of organizational culture—history, leadership, management, interpersonal relationships, stakeholders, and the environments in which facilities function—as well as with the basics of planning.
- Can be used to begin or sustain the process of culture change.
- Make individual and organizational learning and strategic thinking integral parts of strategic planning and management.
- Provide the opportunity for staff to identify changes that can be made easily and incrementally during the strategic planning/management process, thereby demonstrating the potential for positive change.

This guide presents the Rubik's Cube® Models of Strategic Planning® and Strategic Management®, the concepts and principles on which they are based, and detailed information on how to implement them. Although developed for correctional facilities, both models are applicable to any correctional setting. The work itself is team based and calls for the participation of staff from all levels and all departments. It is intended to lead to a variety of interim products in addition to the development of a comprehensive strategic plan and a plan for managing and responding strategically. It is also intended to increase staff communication, commitment, and collaboration and improve the quality of life for staff and offenders.

In 2003–2004, both models were pilot tested at the Westville Correctional Facility in Indiana. Westville has a staff of 1,000 and houses more than 2,800 offenders on a site covering 720 acres. Preliminary findings indicate positive changes in many aspects of facility life, including more effective management and leadership, greater staff investment in the facility, increased communication and cooperation, and less apathy. Offender grievances, escapes, and violent incidents decreased, and offender program completions increased. During the pilot test, Westville was also preparing for American Correctional Association accreditation. They are convinced that their strategic planning process was a major contributor to the very high scores they received when they were accredited.

Strategic planning has long been a central office function in state correctional agencies, but more individual facilities can benefit from taking on the responsibility of developing their own strategic plans in the context of their agency's mission, vision, and mandates. We hope that as you come to understand the models and implementation process described in this guide, you will see their value for your facility. We hope that the enterprise of building culture strategically provokes strategic thinking around your facility, meaningful examination of your culture, and ongoing productive communication and collaboration. We hope that all the staff will be committed to a new way of seeing and doing their work and will have a renewed sense of the importance of their contribution to the safe and effective running of the facility. We hope your work leads to more effective offender programs and services and, ultimately, a safer and more secure facility and a better quality of life for staff and offenders.

Carol Flaherty-Zonis, M.A., M.S.W.
Project Director

MESSAGE FROM THE SUPERINTENDENT OF THE PILOT SITE

As the superintendent of a facility that has worked with the strategic planning and strategic management processes presented in this guide, I can assure you that building culture strategically is not for the faint of heart. It takes care, trust, enthusiasm, and commitment. You don't always see immediate results. Sometimes you find out how dysfunctional your culture really is, and that can be frightening. However, avoiding culture examination and strategic planning will surely limit your individual success as a superintendent/warden and your facility's success as a correctional institution.

You have to care about the process and demonstrate trust. As staff begin the work, they tend to reach for the "low-hanging fruit"—things that can be done quickly and easily. You must address these issues so that everyone knows the leadership is behind the process and engaged. Staff must trust leaders as well. To truly address culture, staff have to feel that they can be honest and open in their communications. This may be the most important factor in building a functional culture. As staff become engaged in the process, they will begin to care about building culture strategically and trust the leadership in the facility. At Westville, we observed tremendous growth as staff became engaged and began the work. As the work developed, the "low-hanging fruit" went by the wayside and correctional best practices began to develop.

It is also imperative that the superintendent show enthusiasm for the work. The nature of the process of building culture strategically is to engage everyone in the facility. By demonstrating enthusiasm from the top, the superintendent sets the stage for success. Staff throughout the facility will become excited about the process and the work they are doing. You will see a facility full of energetic staff who will be focused on making a positive impact on the job.

Commitment to the work is also important to ensuring success. Naysayers and others will question your commitment to making change. This is a natural response from those who may feel threatened by change. It is essential that everyone in the facility knows you are committed to making the institution's culture a positive one from the first day. There will surely be times when your commitment is challenged because you have made a decision that some people do not accept. However, it should be clear that making an unpopular decision does not mean that you are not committed to making change.

As the culture of your facility becomes a positive one, you will notice changes in staff's attitudes, approach to the work, ability to accept and implement change, and capacity for systems thinking. Westville also had improved communications and better interdepartmental relations, and the offender population described a higher quality of life throughout the facility.

Ed Buss

Superintendent, Indiana State Prison
Former Superintendent, Westville Correctional Facility
Indiana Department of Correction

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The work represented in this guide is a testament to the vision of Dr. Susan Hunter, former chief of NIC's Prisons Division, and her belief in the possibility of profound change, her understanding of the need for collaboration, and her intense desire for us all to be better than we are. In that work, I could not have had a better colleague than NIC Project Manager Randy Corcoran. His deep interest in and knowledge of the work, his understanding of the value of strategic planning and culture exploration, and his ongoing support and advice made all the difference.

Carol Flaherty-Zonis, M.A., M.S.W.
Project Director

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Section 1

Introduction



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INTRODUCTION

Let's face it. Strategic planning often is not strategic. Organizational planning commonly is assigned to a small group of people, usually those in formal leadership positions, who may seek little input from people who do the work every day. The result is frequently a repackaging of what staff are already doing and of the programs and services the facility already offers.

If you have participated in other planning processes, you may be familiar with some or all of the following steps in planning:

- Identify the values of the facility.
- Create a mission statement based on those values.
- Conduct a SWOT analysis (look at your internal strengths and weaknesses and the opportunities and threats from your external environment).
- Create a vision statement.
- Define success for your facility.
- Conduct a performance review of current programs and services.
- Do a gap analysis (look at the difference between where you are and where you want and need to be).
- Set goals.
- Do contingency planning (look at the “what ifs”).
- Develop action plans (identify who is responsible for doing what and in what timeframe).
- Design a process for monitoring, evaluation, and feedback.

When these steps were completed, you had a plan—a good package. Unfortunately, too often it was a package no one looked at again. People did not use it to make management decisions. It did not help when you had to respond strategically to a situation. It did not enhance the way people led, managed, and supervised and did not mean much to staff because they likely had no part in creating it. Ultimately, nothing much changed about the way the facility operated.

Has this been your experience?



Strategic planning, management, and response are interdependent. You need to manage effectively while you are planning; at the same time, the changes brought about by your planning process are likely to have a positive effect on the managing of the facility.

This guide introduces a new way to do strategic planning—one that will help you:

- Chart a new course for your facility that builds on your staff’s strengths, identifies what might need to change, and maintains what works.
- Think about new options that might work even better for staff, offenders, and the facility overall.
- Create a vision and summon the commitment to achieve it.
- Lead and manage efforts to improve the quality of life in your facility.
- Plan how to react to changing circumstances in ways that will move you closer to your mission and vision.
- Develop leadership throughout your facility.
- Enhance communications and decisionmaking throughout your facility.
- Develop a plan to which staff can be fully committed because they have been involved in developing it.

This approach, called *building culture strategically*, involves more than the traditional steps in strategic planning because it is designed to help you understand why people in your facility do what they do—that is, the *culture* of your facility—achieve your potential as individuals and as a team, build a more collaborative environment, and create a safer and more secure facility.

The guide also presents a model for developing your facility’s capacity for strategic management and response that will help you integrate your strategic plan into the daily life of the facility. (**Note:** Although this guide is addressed to correctional facilities, the models it presents are applicable in any correctional setting.) The work of strategic planning is to look at the current reality of the facility, define its needs, examine its culture, and establish its future direction. Completing this work and developing a strategic plan that describes the process, its outcomes, and your vision for the future of the facility are significant accomplishments. However, to implement the plan effectively, facilities also need to consider how to manage and respond strategically—that is, to make decisions and take actions that both keep the facility safe, secure, and stable and address the needs of staff, offenders, and other stakeholders as the facility works toward achieving its vision.

Strategic planning, management, and response are interdependent. You need to manage effectively while you are planning; at the same time, the changes brought about by your planning process are likely to have a positive effect on the managing of the facility. And you always need to be able to respond effectively, efficiently, and, hopefully, strategically, to crisis situations as well as to the everyday operating of the facility. Developing leadership, examining culture, dealing with change, building effective communications, building a collaborative environment—all are part of strategic planning, management, and response.

Oh No, Not Strategic Planning!

People frequently react negatively to the words “strategic planning,” but these words describe an activity often used in daily life. For example, think about how your home looks now and how you might want it to look in the future. Perhaps you have seen photographs of homes in magazines or have a friend whose home you admire.

If you want to renovate your home, you need to ask a number of questions: With whom do you have to talk? What do you have to learn? What resources will you need to make it happen? How can you plan to get what you need? Will you take out a home equity loan or use your savings? As you consider the design, you may think about members of your family who might benefit from the changes you are considering and about how you can best involve them in planning the renovations.

All of these questions are part of planning strategically for the home you desire. Clearly, they are just the beginning of the questions you might have to ask for your home improvement project. Once you have developed your plan, you have to be vigilant in the management of all aspects of the work. Strategic management helps you keep the renovation process moving toward your vision of your renovated home and anticipate the challenges you might face along the way. Strategic response helps you deal effectively with the obstacles that do arise. All of these activities—planning, management, and response—require strategic thinking.

In short, strategic planning is a process we engage in more often than we may realize. For answers to common questions and concerns about strategic planning, see appendix A, “Frequently Asked Questions and Myths About Strategic Planning.”

Strategic Planning That Makes a Difference

Basing current strategies on past experience can be productive but can also lead to a static organization in which people continue ineffective practices or fail to be innovative. To be worth the time, energy, and resources that it requires, the planning process must do more. It must make a difference—a difference in the way people lead and manage, in the decisions they make and how they make them, in the sense of commitment they bring to their work and to being the best they can be (both individually and as a staff), and in their willingness to think of the whole rather than just the part for which they are immediately responsible.

Strategic planning must be about more than putting together a document to satisfy a mandate. Being strategic requires:

- Examining the culture as it is and could be, including the leadership, management, and supervision.
- Recognizing the good and the not-so-good in what you have and how you operate.
- Exploring and ensuring a continuous flow of new ideas, methods, and practices.
- Thinking in new ways, seeing the relationships among all the parts of the facility, and planning in the context of your internal and external environments.
- Taking an honest look at the challenges you face and the strengths and competencies you and your staff bring to those challenges.
- Recognizing the importance of the offender culture, particularly its impact on your facility's culture and security.
- Understanding the impact of the facility culture on offender behavior and, therefore, on the security of the facility.
- Establishing measures of success, tools to evaluate outcomes, and mechanisms for ongoing measurement and feedback.
- Developing a plan to manage change.
- Building long-term commitment to strategic thinking and planning throughout the facility.

The models in this guide are designed to help you plan and manage in a way that is truly strategic. Developed specifically for use in correctional environments, they are unlike any other models with which you may have worked. These models see strategic planning and management as a process of building culture strategically. This process is based on three fundamental principles:

- Exploring your facility's organizational culture is as important as examining its daily operations.
- Participation of all levels of staff from all departments, offenders (where appropriate), and external stakeholders is vital.
- The work does not end when the plan is written. Strategic planning and management are dynamic, ongoing processes; strategic responses are always required; and strategic thinking should always form the basis for decisions.

The Models

This guide presents three models, each of which was developed by Project Director Carol Flaherty-Zonis:

- The Rubik's Cube® Model of Organizational Culture©.
- The Rubik's Cube® Model of Strategic Planning©.
- The Rubik's Cube® Model of Strategic Management©.

The models are so named because they take Rubik's Cube® as their inspiration. Invented in 1974 by Erno Rubik, Rubik's Cube® is a hand-held puzzle with six sides and an internal set of "gears" that allow the sides to be turned. Each side is a different color and is made up of nine small squares. Turning one side of the Cube® changes the configuration of the colored squares not only on that side but on each of the five other sides as well.

The Rubik's Cube® Models of Organizational Culture, Strategic Planning, and Strategic Management are based on the idea that organizations are like Rubik's Cube®, in that anything that affects one part of an organization affects the relation of that part to all the other parts and to the whole. The Rubik's Cube® Model of Organizational Culture illustrates the interdependence of six aspects of culture: leadership styles, management styles, the history of the facility, interpersonal relationships, the environment outside the facility, and the perceptions of the stakeholders. The Rubik's Cube® Models of Strategic Planning and Strategic Management use the Cube® as the framework of a collaborative, inclusive, team-based process that is as much about learning as it is about planning. Rather than hand down solutions for planning and management, the models pose questions to help your facility examine the existing culture, measure readiness for change, develop a blueprint for change, and establish strategic thinking as the way of doing business every day.

The Cube® Models of Strategic Planning and Strategic Management both assign a specific purpose to each of the six sides of Rubik's Cube® and present a set of questions to be answered to accomplish that purpose. Each model also includes a core set of questions focused on strategic thinking, the activity that constitutes the "gears" of the Cube® models. The framework of the models is shown in the sidebars on pages 8 and 9.

To implement the models, six teams composed of all levels of staff from all parts of the facility are established to explore and respond to the model's questions. Each team works with the set of questions for its side of the Cube® and also with the core questions on strategic thinking. Ongoing, facilitywide communications are essential to the process. The teams coordinate their efforts, sharing information about their work and seeking input from each other, the rest of the staff, external stakeholders, and, where appropriate, offenders. Team facilitators meet regularly and a process manager coordinates and monitors the work. The process is inclusive, multidimensional, self-guided, and comprehensive, with many opportunities to make incremental change.



Turning one side of the Cube® changes the configuration of the colored squares not only on that side but on each of the five other sides as well. Similarly, anything that affects one part of an organization affects the relation of that part to all the other parts and to the whole.

About This Guide

The Rubik's Cube® Models of Strategic Planning and Strategic Management may initially appear complex or even overwhelming. While this guide does not provide easy answers or shortcuts, it does offer a step-by-step framework for using the Cube® models that corrections facilities can adapt to their individual needs. The guide is intended to serve as a compass for strategic planning and management and will help you maneuver in your facility's internal and external environments.

Framework of the Rubik's Cube® Model of Strategic Planning

- **Core/gears: Strategic thinking.** Clarify what strategic thinking means in your facility, how it can be encouraged, and the impact it will have on how the facility works.
- **Side 1 (Green): Setting the stage.** Identify all that is necessary to encourage strategic thinking and ensure effective facilitywide planning in the context of your facility's culture and its external influences.
- **Side 2 (Red): Identifying strategic issues.** Identify the challenges your facility faces; the core competencies, skills, and values necessary to meet those challenges; and several strategic issues the facility needs to address.
- **Side 3 (Orange): Charting the future.** Create perspective and context for the planning work, set the vision for the future, and prepare for change.
- **Side 4 (Blue): Crafting strategies.** Examine the effectiveness of the current culture, programs, and services; identify what needs to change; and consider how to assess the changes that planning creates.
- **Side 5 (White): Bringing the strategies to life.** Establish goals and objectives, consider ways to bring strategic thinking into daily operations, and assess progress toward meeting the goals.
- **Side 6 (Yellow): Sustaining change.** Explore ways to involve all stakeholders in ensuring success, monitor and share information about progress, and build on what you learn and do successfully.

Organization

Section 2 of this guide (chapters 1–4) discusses the ideas on which the Cube® models of strategic planning and strategic management are based. As you work with the models, referring to the background material in section 2 can be useful. Chapter 1 explains the concept of organizational culture and presents the Rubik’s Cube® Model of Organizational Culture. Chapter 2 discusses why strategic planning and management are most effective when done within the context of examining the facility’s culture. Chapter 3 lays out the conceptual framework of the models, defining

Framework of the Rubik’s Cube® Model of Strategic Management

- **Core/gears: Strategic thinking.** Explore how strategic thinking can be incorporated into the daily operations of your facility.
- **Side 1 (Green): Strategic management and the facility’s culture:** Examine the current culture and subcultures in your facility and how they influence management and decisionmaking.
- **Side 2 (Red): Strategic management to accomplish the mission.** Search for ways to ensure accomplishment of your facility’s mission on a daily basis by focusing on the internal and external challenges and threats you might face and developing strategies to respond to them.
- **Side 3 (Orange): Strategic thinking and the business we’re in.** Examine the work you do and how you do it in the context of your stakeholders and your vision.
- **Side 4 (Blue): Strategic management and leadership.** Examine your facility’s formal and informal leadership and the management and supervision of staff and offenders with regard to the capacity to manage and respond strategically.
- **Side 5 (White): Strategic thinking, decisionmaking, and the process of change.** Consider what is necessary to begin and sustain the process of individual and organizational change that allows for strategic management and response throughout the facility.
- **Side 6 (Yellow): Strategic management of facility resources.** Examine your facility’s use of all its resources and their capacity to contribute to the strategic management of the facility.

For a summary of the steps in each of the five stages of the implementation process see “The Planning Process Outlined,” pages 103–104.

important terms and discussing the values and beliefs embodied in this approach. Chapter 4 explores what organizational change entails and the importance of leadership to any change process.

Section 3 (chapters 5–8) is devoted to the Rubik’s Cube® Model of Strategic Planning. Chapter 5 presents the sets of questions that constitute the model itself. Chapter 6 takes you step by step through the process of implementing the model in five stages:

1. Assessing your facility’s readiness for strategic planning.
2. Laying the groundwork.
3. Planning and holding the kickoff meeting.
4. Holding team meetings to develop responses to the Cube® questions.
5. Drafting and finalizing your strategic plan.

Chapter 7 presents strategies for good facilitywide communication, which is essential to the success of this model of strategic planning. Chapter 8 provides guidance on another essential piece of the planning and management puzzle: measurement. This chapter discusses qualitative and quantitative measures for gathering baseline data on your current reality and monitoring the progress of your work. Measuring your work will enable you to base your decisions on reliable and valid information and establish clear definitions of success.

Section 4 (chapters 9–11) is devoted to the Rubik’s Cube® Model of Strategic Management. Chapter 9 discusses what is involved in strategic management and response and the benefits of this approach, including how it integrates the strategic plan into the daily life of the facility. Chapter 10 presents the sets of questions that constitute the model, and chapter 11 provides guidelines for implementing the model.

The appendixes at the end of the guide provide a variety of resources to help facilities implement the Cube® models. These resources include:

- Answers to frequently asked questions (appendix A).
- Surveys, checklists, and forms for use in gathering and assembling data, organizing your work, structuring discussions, and measuring progress (appendixes B and C).
- Information about using the *Organizational Culture Inventory*® to explore your facility’s culture (appendix D).
- A sample kickoff meeting agenda and a PowerPoint presentation available from the National Institute of Corrections (NIC) for use in the meeting (appendixes E and F).
- A review of the literature on strategic planning (appendix G).

Using the Guide

Even if your facility is already engaged in strategic planning, this guide can help you. It may stimulate your thinking and challenge some of your ideas. If your facility is already engaged in strategic planning but has not yet examined its culture, this guide will give you a new perspective on the planning process. Perhaps your facility has developed a strategic plan, but managers and staff are making decisions and solving problems as if the plan does not exist. Perhaps you find your staff constantly experiencing the same problems and trying to solve them in the same ineffective ways. This guide can help you address these issues.

A planning process that is inclusive, open, and ongoing is the most effective way to develop a strategic plan that staff will find meaningful and be committed to achieving, but such a process poses challenges perhaps not found in other methods of strategic planning. Although this guide gives facilities and other correctional agencies the information and tools they need to initiate and carry out strategic planning with the Cube® model, NIC recommends that facilities interested in using the model contact NIC to obtain the assistance of a consultant trained to guide them through this process.

The outcomes of building culture strategically amply reward the effort required. At a minimum, you will chart a strategic direction for your facility and craft strategies to take you there—strategies that foster commitment to an ongoing examination of your work and why and how you do it, set the course for daily decisions and actions as well as for the long term, set the tone for how the facility is managed and led, and ensure that everyone in the facility works toward a shared mission and clearly articulated goals. Ultimately, staff engaged in the process of building culture strategically become committed to a new way of seeing and doing their work and gain a renewed sense of the importance of their contribution to the safe and effective running of the facility.

Section 2

Organizational Culture and Change



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CHAPTER 1

What Is Organizational Culture?

The concept of organizational culture is a familiar one that may not need much introduction. The information presented here is intended to create a context for the planning and management models described later and to show the clear links between organizational culture and strategic planning and management.

Organizational culture is defined as the values, assumptions, and beliefs the people in an organization hold that “drive the way they think and behave within the organization” (Cooke, 1989). Organizational culture is clear to those who work within it, although it often is not overtly defined. People communicate the culture through their interactions, conversations, work styles, leadership, management and supervision styles, rituals, facility maintenance, performance appraisals, staff meetings, organizational chart, and more. In a correctional facility, the organizational culture encompasses both the culture of the staff and that of the offenders. We can see the culture in many ways, including the way staff and offenders interact, who has what kinds of power and how they use it, how people work through the chain of command in communicating and decisionmaking, and who is rewarded and promoted.

Note that the actions and behaviors listed above are not themselves culture, but its manifestation. Organizational culture lies beneath the surface. What we see, hear, and feel are reflections of the culture—the **organizational climate**. We see behaviors, learn how people make and follow through on decisions, hear conversations, observe interactions, interpret attitudes, discover subgroups, learn how rewards and punishment are used, and listen to the stories people tell. Everything we see, hear, and feel within the organization results from the values people hold about the organization and provides us information about its culture—the “why” (the causes) underlying the “what” that happens (the symptoms).

One way to understand the relationship between organizational culture and climate is to think about our skin. We can enhance our skin through drinking more water and eating a healthy diet, nourishing it from the inside out, and by using moisturizer and staying out of the sun, which help externally. Similarly, we can enhance facilities by working on their culture, making change from the inside out, and also by making changes in their climate—changes that we can see, hear, and feel on the surface.



Organizational Culture:
The values, assumptions, and beliefs the people in an organization hold that drive the way they think and behave within the organization.

Combining these two approaches is the most effective way to improve the quality of life in a facility. Changing a facility's culture is a gradual process, the benefits of which may not be immediately evident, although they are likely to be long lasting. In contrast, small changes that are easier to make and require fewer resources are often enough to change a facility's climate because they have a direct, positive impact on the quality of life of staff and offenders. For this reason, people in organizations tend to be more likely to make changes that affect the organization's climate. However, climate changes are likely to be short lived and insufficient to solve the problems that need to be addressed unless they are accompanied by an understanding of the organizational culture that drives people to think and behave as they do.

Do not assume that in any organization there is only one culture. In most organizations, and certainly in correctional facilities, there are **subcultures**, groups of people often more aligned with each other than with the organization as a whole. In organizations that do not pay attention to their culture, subcultures can become powerful and sometimes destructive to the organization. **Default cultures** then emerge. These are the cultures that fill the vacuum in an organization when people do not deliberately and consciously work to define and promote a culture of the whole.

The Rubik's Cube® Model of Organizational Culture® uses a familiar puzzle to demonstrate how culture works. Invented in 1974 by Erno Rubik, a Hungarian lecturer at the Academy of Applied Arts and Crafts in Budapest, Rubik's Cube® has six sides, each of a different color, each consisting of nine small squares. A set of "gears" inside the Cube® allows the sides to be turned. If we turn one side of the Cube®, its configuration changes—that is, the relationship of the pieces on that side changes in relation to all the pieces on the other sides.

Like this puzzle, an organization has many interconnected pieces, each one affected by the others. Actions in one area of the organization affect the entire organization and the relationship among its components and also may affect its culture. The Rubik's Cube® Model of Organizational Culture identifies six major components of a facility's culture: leadership styles, management styles, history of the facility, interpersonal relationships, environment outside the facility, and perceptions of the stakeholders (exhibit 1). Following are a few of the questions we might raise about each component:

Leadership styles:

- What are the styles of leaders throughout the facility?
- Who are the formal and informal leaders?
- How do their styles affect the culture and vice versa?
- How effective have the leaders been and why?
- What values underlie the leaders' styles?

Management styles:

- Who has power? Why? What kind of power do they have?
How did they get it? How do they maintain it?
- How are resources allocated?
- Who plans?
- What values do people in the facility hold about management and supervision?

History of the facility:

- What are the stories people tell about the facility?
- Who are the storytellers?

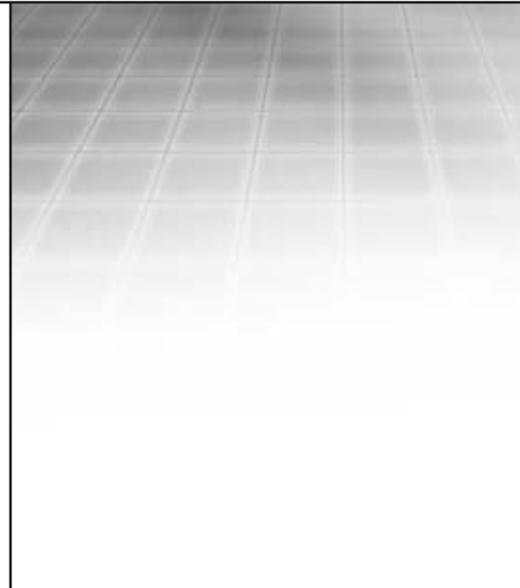
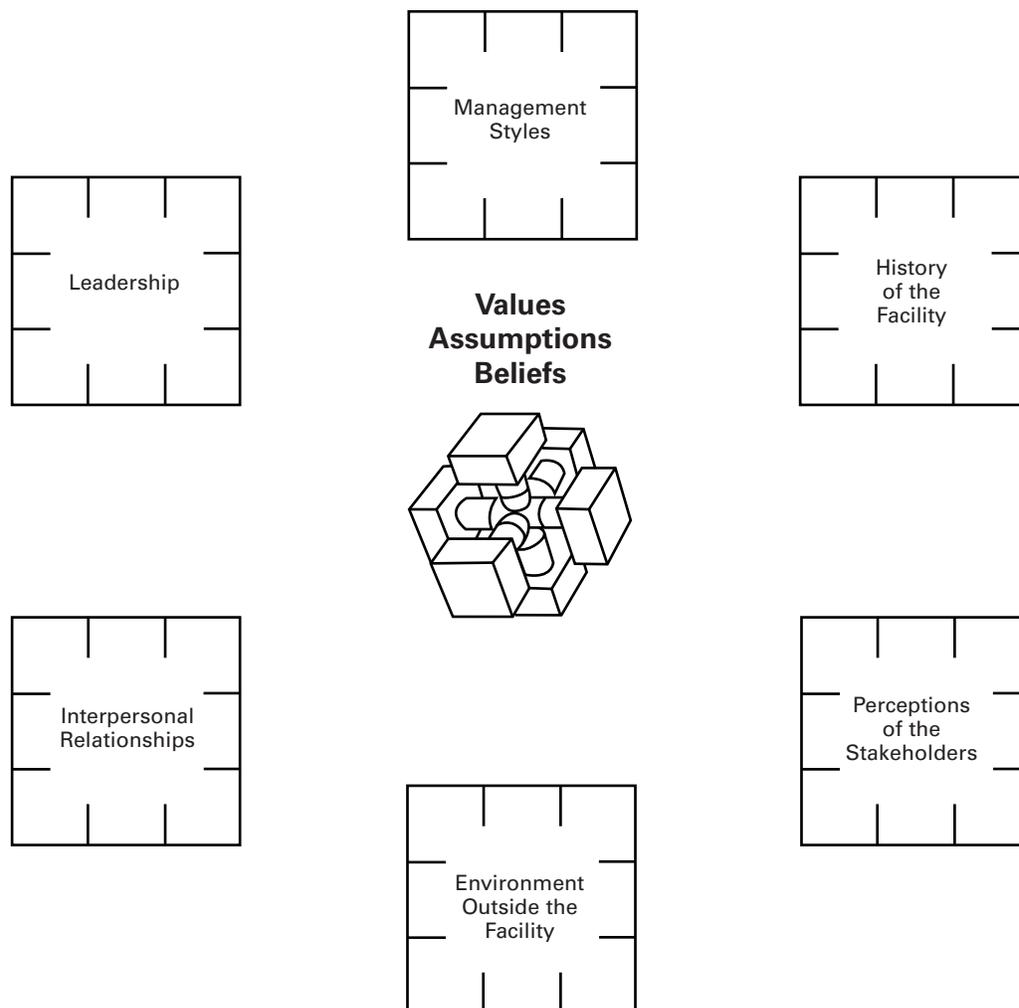


Exhibit 1. Diagram of Rubik's Cube® Model of Organizational Culture®



Examining your facility's culture is an integral part of planning for the facility and managing it.

- What are the rituals in the facility? How did they develop? What purposes do they serve?

- Who are the heroes and heroines and why?

Interpersonal relationships:

- Is there a spirit of teamwork?
- How are decisions made and policies developed and by whom?
- What are conflicts about and how are they handled?
- How is morale?
- How does communication happen?
- How is training used?
- Is there a performance appraisal process? If so, how effective is it?

Environment outside the facility:

- Who has an impact on the facility's culture and how?
- What aspects of the environment are most important to the culture and why?
- What are the values that underlie the relationship between the facility and the community?
- How does facility leadership relate to the legislature and judicial system?

Perceptions of the stakeholders:

- Who are the stakeholders? (See "Stakeholders in Facility Strategic Planning," page 19.)
- How do they perceive the facility, and how do facility staff (also stakeholders) perceive them?
- What are the values that underlie the stakeholders' perceptions of the facility and staff? What values underlie the leadership's and staff's perceptions of the stakeholders?
- How do you/the staff balance the conflicting needs of the stakeholders?

By asking questions about what happens, how things happen, and who is involved, we can begin to understand why things happen as they do. Asking people direct questions about the values they hold can also uncover the reasons they hold those values, but it is often more difficult for people to talk about why than what is.

Examining your facility's culture is an integral part of planning for the facility and managing it. If you want to change your facility's culture, you most likely will be changing the way people manage, supervise, and respond, so that everyone will work together with the understanding that any action they take will affect others in the facility. The best way to implement this kind of fundamental shift is strategically, with careful consideration of the consequences of each change you make.

Stakeholders in Facility Strategic Planning

Stakeholders are people who care about, are affected by, or have a vested interest in the work an organization does. They are both internal and external to the organization. The stakeholders in facility strategic planning may include the following people:

Internal Stakeholders

- Correctional officers and supervisors.
- Assessment and classification specialists.
- Division/unit managers.
- Counselors.
- Health-care professionals.
- Substance abuse and mental health treatment program staff.
- Other offender program staff (e.g., library, recreation, education, volunteer coordination).
- Pastors/chaplains.
- Facility industries/vocational training staff.
- Food services staff.
- Administrative support/clerical staff.
- Management information system staff.
- Administrators/policymakers.
- Citizen volunteers.
- Offenders.

External Stakeholders

- Offenders' families.
- Staff members' families.
- Victims and victims' families.
- Headquarters administrators, planners, information services staff.
- Court personnel (judges, prosecutors, defense attorneys).
- Community corrections staff, especially for parole supervision.
- Public and private social services agencies (those serving offenders' families as well as parolees and their families).
- Community-based substance abuse, mental health treatment, and health-care providers.
- Community businesses and employers.
- Public and private employment and workforce developers.
- Public and private education agencies.
- Local law enforcement (where the facility is located and/or where offenders are paroled).
- Municipal and county government (where the facility is located and/or where offenders are paroled).
- Citizens (where the facility is located and where offenders are paroled).
- Federal and state legislators.
- Executive branch policymakers and their staff.
- Independent researchers and evaluators from local universities and firms.
- Taxpayers (who support facility operations and postprison supervision, whether they know it or not).

Strategic Thinking in Action

Strategic Planning and Examination of Culture: Hand and Glove

Several years ago, the Indiana Department of Correction began a departmentwide strategic planning process with a several-day retreat for leadership led by external facilitators. Around the same time, then Commissioner Evelyn Ridley-Turner and a few other central office leaders began to discuss the need to address matters of the department's culture. The commissioner asked Special Assistant Johnie Underwood to take the lead in determining how to accomplish this.

The department determined the need for an external facilitator to guide it through the process of examining the culture and teaching staff about it. With technical assistance from the National Institute of Corrections, the department obtained the services of a consultant (Carol Flaherty-Zonis). Together, they determined that the most effective approach was for her to visit several facilities, develop a curriculum for staff training called "Developing Organizational Cultural Competence," and conduct a train-the-trainer course for people in the department. After the pilot of the course, the commissioner decided that the consultant should conduct the course for approximately 200 of the department's leaders from the central office and the facilities. Eight 2-day courses were given, after which a train-the-trainer course was conducted.

Participants came in teams from their facility, the central office, and parole. Course participants gained an understanding of the concepts of organizational culture and organizational cultural competence, identified the values and beliefs that support their current culture, and determined which values and beliefs would be needed to move toward and support a more positive culture. Each team was charged with keeping the process of culture examination moving in its own workplace.

Midway through the presentation of these courses, the commissioner asked the consultant to facilitate a 3-day retreat for approximately 80 of the department's leaders, most of whom had participated in the original planning retreat. The purpose was to continue the strategic planning work and to bring in the organizational cultural competence effort. It had become clear that the two processes were interdependent. During that retreat, participants developed a vision statement and a list of proposed value statements and core competencies for the department. A committee formed to refine the work, synthesize the long list of proposed values, and circulate them to the superintendents, who were expected to discuss them with members of their staff. Another group was formed to explore how to link the core competencies to hiring practices.

What is the purpose of this example? The processes of strategic planning and culture examination are intertwined. Although it is possible to do one without the other, as organizations have done for years, each is most effective when combined with the other. The commissioner's concept of a department and facilities with a clear vision, an honest assessment of where their culture is now, and a clear statement of values for where they need to be drives the work and sets the tone for the seriousness of the process.

Thanks to former Commissioner Evelyn Ridley-Turner and to her Special Assistant Johnie Underwood for permission to use this example.

CHAPTER 2

Why Are Culture Examination and Strategic Planning, Management, and Response Necessary?

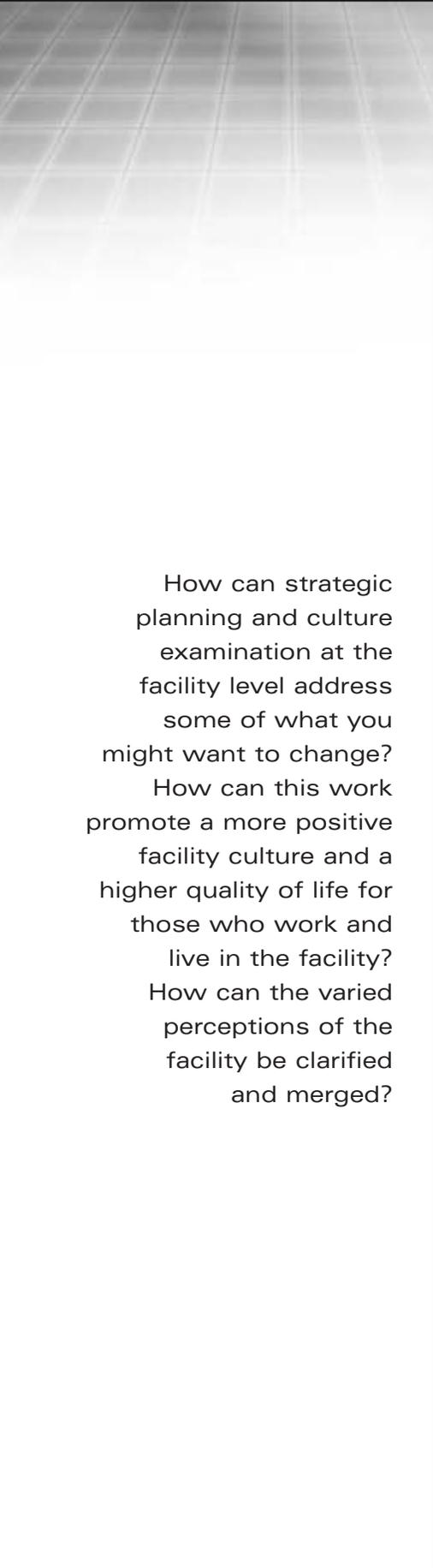
Many facilities have gotten along for years without doing strategic planning or examining their culture. For the most part, staff and offenders have been relatively safe, budgets have been well managed, new programs and services have been developed, and facilities have continued to be built. However, in many states, relationships between the central office and the facilities and between some departments within facilities have been less than collaborative. The public still has misconceptions about who works in facilities and how facilities are run. Negative reports about offender and staff behaviors continue to appear in the media, and the rate of recidivism for released offenders remains high. In addition, there often is a disconnect between what facility management sees and what facility staff see. Facility subcultures can exert powerful, often negative, influences.

Strategic planning, management, and response can address these issues. These interdependent functions are essential to the current and future health of any organization. They work together to facilitate a smooth-running organization and limit the possibility of failure. In the corrections context, this is especially important because failures may be highly visible as well as costly in credibility, dollars, and even lives. In organizations where strategic planning, management, and response are understood, accepted, and well utilized, people in the system can more readily learn from their experiences, thereby enhancing their skills and confidence so that they are better prepared to respond to whatever events and circumstances may occur in the future. Managers and staff can collaborate to achieve the future they have agreed to create.

If you want to plan and manage strategically, to chart a new course or at least change strategic directions, both management and staff must understand and respect your facility's culture and history. Conversely, if you want to explore your organizational culture and the ways in which it might need to change, it is best to do that work in the context of strategic planning, management, and response.



If you want to plan and manage strategically, if you want and need to chart a new course or at least change strategic directions, both management and staff must understand and respect your facility's culture and history.



How can strategic planning and culture examination at the facility level address some of what you might want to change? How can this work promote a more positive facility culture and a higher quality of life for those who work and live in the facility? How can the varied perceptions of the facility be clarified and merged?

By probing into the six aspects of facility culture introduced in chapter 1 (leadership styles, management styles, history of the facility, interpersonal relationships, environment outside the facility, and perceptions of the stakeholders), you can begin to understand why things happen as they do, why decisions are made as they are, and why people interact as they do. By asking questions about different aspects of each of these factors, you can learn a lot that will be useful both in embarking on the process of strategic planning and change and in sustaining that process through strategic management and response.

Without an examination of your facility's culture, you risk making erroneous assumptions, being less productive and innovative than you might want to be, and finding yourself moving forward without the commitment of the people who will have to make the plan come alive. In effect, you might not be successful.

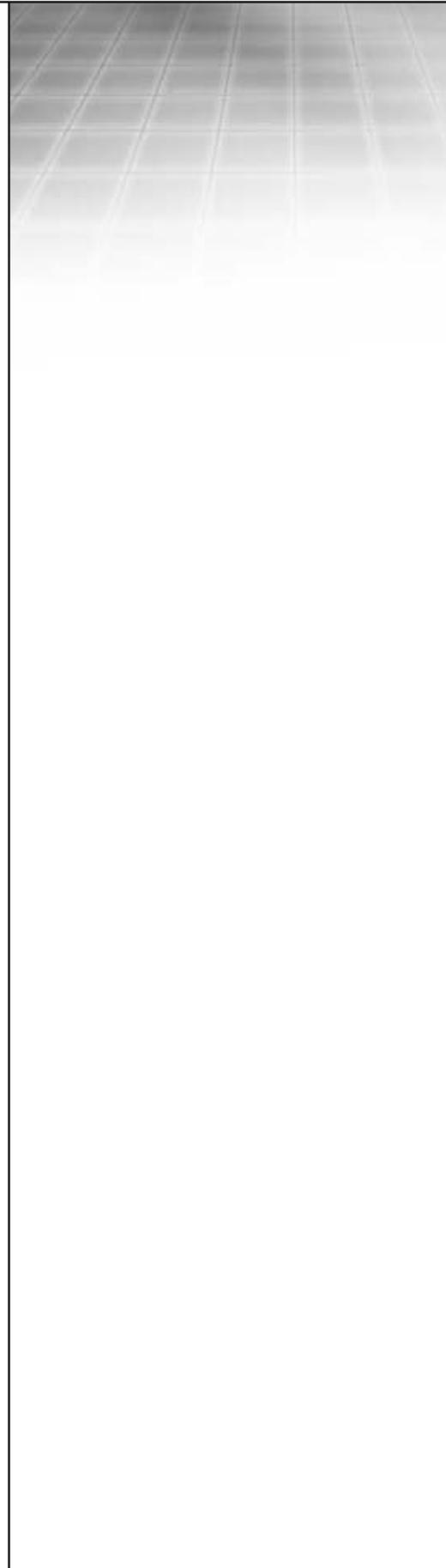
The Process of Examining Organizational Culture

To understand your facility's culture and determine whether aspects of it need to change, you will need to:

- Understand the current reality (the facility's issues, challenges, and strengths).
- Be patient, because the work takes time.
- Anticipate that some people in the facility and in the community will fear change and that others will welcome it.
- Make the process inclusive.
- Learn to learn together.
- Tap the energy and creativity of many people.
- Recognize that the work will suffer setbacks as well as successes.
- Recruit strong leaders, acknowledging that the work cannot be done as a top-down process.
- Address issues important to staff.
- Involve people of influence.
- Enlist the support of the central office.
- Consider the offender culture.
- Keep the vision clear.

Strategic planning that incorporates an examination of the organization's culture can provide your entire staff an opportunity to look clearly at where you are now, determine where you want and need to be, and plan how to get there. This process should include all staff and, in areas where appropriate, offenders. As you move ahead with the work of strategic planning and management, it is important to pay attention to the offender culture as well as the staff culture. The two are very much connected. If one of your ultimate goals for culture exploration and strategic planning and management is to make your facility safe and secure—and thereby to improve the quality of life for both staff and offenders—then examination of the offender culture is an important component of your work. As staff begin to see how conditions in the facility improve for them as a result of culture examination and strategic planning, they in turn may give their best to understanding and working to change the offender culture to improve the quality of life for themselves and offenders.

Strategic planning in the context of culture examination can provide opportunities for facilitywide communication about how and why the administration and staff do what they do and how they might do it better. These steps can provide the structure within which to look closely at the values, beliefs, and assumptions people hold about their work and working relationships and then bring change where people determine change is needed. When informed by culture examination, strategic planning can improve morale, rekindle enthusiasm for and pride and interest in the work, identify and strengthen leadership throughout the facility, and enhance the quality of life for staff and offenders. It is no longer simply strategic planning, but an ongoing process of building culture strategically.



Strategic Thinking in Action

The Value of Strategic Planning

If you asked anyone in the Idaho Department of Correction (DOC) about the department's vision, they would probably reach down to the laminated card that rests with their identification tag. Employees now share a mission, vision, and list of values on that little card that is always with them during working hours. It is a valuable reinforcement of a shared mission that is now firmly a part of the culture of the department—used as staff make decisions every day.

Flash back several years before this new mission, vision, and values, and the Idaho DOC was an agency with many problems. A legislative committee issued a scathing report outlining issues and concerns about morale, and turnover was high.

When the new director, Tom Beauclair, was appointed in September 2001, creating a new strategic plan was high on a list of priorities. He saw the plan as a critical starting point for implementing a new culture and moving the department forward with a shared vision.

A group of key leaders was brought together to provide input on the department's mission, vision, and values. Idaho DOC hired an outside consultant with expertise in strategic planning to help facilitate the creation of a strategic plan, and the work began. The leaders wanted a plan that would help establish an environment that inspired compassion and commitment to the ideals of corrections. The group spent several days designing the mission, vision, and values that now serve as the core for everything the department does.

Those guiding principles provided a solid philosophical foundation. To that base, administrators added key concepts to fuel the idea that the department needed offender change and culture change. They talked about moving from a bed-driven system to a program-driven system. They discussed getting away from the one-size-fits-all approach and balancing risk control with risk reduction. The department's vision and mission ask all staff to commit to protecting the public, give offenders opportunities to change, and take part in developing an organization respected for its professional integrity. They challenge all to participate in offender change and to be flexible and open. These

principles, in some cases, represent a 180-degree shift from how the department previously operated.

A key element of the strategic plan is its focus on the professionals in the organization. The word "professional" introduced an image of what was expected, generating pride in a job well done and setting a standard for all staff. Everyone wants to share in something larger and nobler, and part of the goal in setting the mission, vision, and values high was to draw professionals to the organization as well as to inspire topnotch behavior within the existing staff. The affirmation of professionalism helped make the process of cascading the message a little more successful, although the real keys to communicating the message were many contacts and consistency in its delivery.

The director visited each worksite and delivered briefings on the mission, vision, and values to each shift. Top administrators also made trips statewide to reinforce the message. All took on the personal task of being role models for some of the key values, showing their commitment to open dialog and encouraging the professional success of others. They shared stories about appropriate behavior that exemplified the values of the department. Site leaders were asked to spread the message as well. Newsletters reflected and continue to reflect the vision. Awards given by the board now state the values the recipient demonstrated that exemplify the mission, vision, and values of the department.

Other stakeholders, such as judges and lawmakers, needed to be similarly committed to communicating the new vision. Evidence that the culture was changing came when the new director appeared before the state legislature. Instead of subjecting the director to tough questioning, they thanked him for the department's efforts to streamline the organization and create a new vision for corrections in Idaho.

Other evidence that the process of change was working came just months after the new strategic plan was created. A consultant who teaches quarterly classes to the department's future leaders said he had seen a noticeable shift in department culture. His

Strategic Thinking in Action

survey of classes included a performance climate assessment that asked if employees understood the mission and goals of the organization. In July 2001, just 1 person in the leadership class gave this category a high ranking; by April 2002, 14 students (about half the class) ranked this as absolutely true. The consultant attributed the change to a message that appeals to a higher sense of purpose and excitement about the strategic direction, mission, and values of the department.

Institutions and staff started holding the mission, vision, and values card as a charge to fellow staff to act in ways reflective of the department's values. A framed statement of the mission, vision, and values is displayed in the entrance of every DOC institution and district office. One institution used the strategic plan and operating plan as a springboard for creating its own action plan for fiscal year (FY) 2003.

The change in culture is well under way, but it has not been without challenges. Falling revenues in FY 2002 hit the state's economy hard. As the department was educating staff about the new strategic plan and its intent to focus on risk reduction as well as risk control, leaders had to divert attention and resources to cutting millions of dollars from the corrections budget. This created an opportunity to move forward on some initiatives for streamlining the agency. Administrators again held up the mission, vision, and values statement as the guide that helped them focus their budget-cutting efforts in ways that would make the department more effective. The fiscal crisis established the DOC's commitment to these guiding principles in tough times as well as good times.

The department's goals, the most newly added part of the strategic plan, are also philosophical in nature. They focus on promoting professionalism; facilitating open and honest communication; initiating and supporting positive change within the organization,

the criminal justice system, and the community; and operating as a fiscally responsible, quality-driven organization. From these goals springs the tangible operating plan that outlines the actions the department must take to accomplish its goals and the ways in which progress will be measured.

In FY 2004, the second year of the strategic plan, the department began a concerted effort to have each worksite use the strategic plan and the central office operating plan to create its own operating plan. The department was moving from delivering the message of change to doing the work necessary to make that change truly a part of the culture and everyday work of each site. The central operating plan focuses on creating a corrections system that uses programming to reduce risk. The Idaho DOC is also committed to matching programming with offender need and providing case plans for all offenders. Each worksite is being asked to make those ideals come to life. The worksites may soon teach the central office how to live the mission, vision, and values in the most tangible of ways.

The strategic plan gained momentum in its second year as understanding of the concepts that created this new road map broadened and deepened. Now the effort is focused on bringing those ideals into everyday work—the work of turning the words of the plan into action. Communication continues to reflect and evolve around those guiding principles. That road map—that strategic plan and shared vision—was the key to making it happen. Its creation was time well spent to make certain the direction was sound and the drivers all had the same road map. Now is the time to go forward.

—Teresa Jones
Idaho Department of Correction

What is the purpose of this example? The success of the Idaho DOC strategic planning initiative demonstrates the power of grounding strategic planning in an examination of the existing culture and a vision of how that culture needs to change,

CHAPTER 3

Building Culture: A New Approach to Strategic Planning and Management

The Rubik's Cube® Models of Strategic Planning® and Strategic Management® (each referred to hereafter as the "Cube® model") are based on the concept of building culture strategically. The models themselves and guidelines for implementing them are presented in section 3 (strategic planning) and section 4 (strategic management) of this guide. This chapter provides the conceptual framework for the models. It defines the terms "strategic planning," "strategic management," "strategic response" (a correlate of strategic planning and management), and "strategic thinking" (the activity at the core of strategic planning, management, and response) in the context of building culture. The chapter then discusses the values and beliefs embodied in this approach to planning and management.

Definitions

Strategic planning, strategic management, strategic response: These are often-used terms that carry a variety of meanings. Although they must be defined separately, these activities are interdependent. Each requires the other two, and all are based on **strategic thinking**. We do not first create a plan and then figure out how to manage. We are managing and responding all the time we are planning.

What Is Strategic Planning?

Strategic planning has been defined as "the process by which the members of an organization envision its future and develop the necessary procedures and operations to achieve that future" (Goodstein, Nolan, and Pfeiffer, 1993). This process traditionally asks and answers five fundamental questions:

- Where are we now?
- What is the current environment in which we operate?
- Where are we going/where do we need to go?



We do not first create a plan and then figure out how to manage. We are managing and responding all the time we are planning.

Strategic planning:
The work an organization does to look at its current reality, design its future, and detail the most effective ways to achieve that future, in the context of its culture, its internal environment, and the external environments with which it interacts.

- How can we get there?
- How will we know when we have gotten there?

The Cube® Model of Strategic Planning adds several questions:

- What is the current culture of our facility?
- What does the culture need to be to move us toward accomplishing our mission and vision?
- How will we bring change to the culture where it is necessary?

These additional questions reflect the following expanded definition of strategic planning: The work an organization does to look at its current reality, design its future, and detail the most effective ways to achieve that future, in the context of its culture, its internal environment, and the external environments with which it interacts. Although some experts suggest that planning is best done by “guiding” members (usually board members or managers), this model of strategic planning advocates a more inclusive process (see “Principles of Building Culture Strategically” later in this chapter).

Strategic planning provides a framework and context for action, both now and in the future. It creates the vision and summons the energy to achieve that vision. It provides tools to adjust to current events and shape the future. Strategic planning is continually concerned with application, implementation, monitoring, evaluation, and ongoing planning. It is, in fact, an ongoing process, not a single event. Strategic planning engages people from all levels of an organization in learning together, sharing perspectives on the current situation and on how the future should look, and working together to achieve their vision.

Strategic planning is not an academic process. It is not just an exercise in creating a document. At a minimum, strategic planning is about:

- Fostering commitment to ongoing examination of the work and why and how you do it.
- Setting the course for daily decisions and actions as well as for the long term.
- Creating a context for the work you do.
- Setting the tone for how the facility is managed and led.
- Ensuring that people work toward a shared mission and clearly articulated goals.

In short, strategic planning serves the organization in many ways. It helps in organizing and mobilizing resources, making decisions and solving problems, determining how to handle specific events and understanding how the decisions made will affect the future, and seeing the whole while understanding the importance of each of the parts.

What Is Strategic Management?

An organization that resolves to think long term, identify patterns, see events and decisions in the context of the whole system, and plan strategically will want to ensure that these actions are carried through in the management of the organization. Strategic management, which naturally accompanies strategic planning, is the way in which people make decisions and act on a daily basis, taking into account the organization's culture and internal environment, the external environments with which the organization interacts, and the strategic plan that directs the organization's work. People who manage strategically keep in mind how their behavior and decisions move the organization toward accomplishing its mission, vision, and strategic plan.

Strategic management asks and answers many questions, including the following:

- What patterns do we see and what patterns are emerging?
- What are the environments in which we work and how can we best work within them?
- How does our work reflect and affect the mission, vision, values, and goals of the facility and the department?
- How can we best use our resources to build systemic change and an effective, efficient facility?
- How do we ensure that all staff have the capacity to do their jobs successfully, deal with offenders effectively and fairly, and accomplish the mission, vision, and goals?

Strategic management enables an organization to bring its strategic plan to life. In contrast to operational management, which is more day to day and short term, strategic management guides the allocation and reallocation of resources and the shifting of priorities needed to meet the long-term goals and mission of the organization. It involves systemic change in the use of resources and in outputs and outcomes. Strategic management does not take the place of traditional management tasks and responsibilities. Instead, it creates a context for that work, based on the facility's culture, mission, vision, and external environment.

Strategic management requires an understanding of the:

- Mission, vision, goals, and culture of an organization.
- Skills and knowledge an organization has and needs to achieve its goals.
- Internal and external environments in which people in the organization function.
- Ways to develop the skills and knowledge of the management and staff.
- Methods of adapting to internal and external environments, especially as these environments they change.
- The power and responsibility each person has to affect the facility, its culture, and its achievement of mission and vision.

Strategic management:

The way in which people make decisions and act on a daily basis, taking into account the organization's culture and internal environment, the external environments with which the organization interacts, and the strategic plan that directs the organization's work. People who manage strategically keep in mind how their behavior and decisions move the organization toward accomplishing its mission, vision, and strategic plan.

Strategic response:

An action or set of actions taken to deal with people and events that reflect the responder's understanding of the mission, vision, and goals of the organization, his/her responsibilities in achieving them, and the impact of his/her actions on the system now and in the future.

Those who manage strategically know the importance of:

- Operating within the organization's larger plan.
- Making decisions and addressing challenges in the context of the values and mission of the organization defined in the strategic plan.
- Being willing and able to assess a variety of options.
- Identifying the benefits and risks of decisions.
- Deciding how and when to use selected resources to achieve well-defined outcomes.

What Is Strategic Response?

Strategic response is an outgrowth of strategic management and planning: An action or set of actions taken to deal with people and events that reflect the responder's understanding of the mission, vision, and goals of the organization, his/her responsibilities in achieving them, and the impact of his/her actions on the system now and in the future. It is the response that comes as a result of understanding the parts in the context of the whole, the impact of each decision and action on current as well as future circumstances, and the environments in which the organization operates. It is not a knee-jerk response, even though it may be made quickly. It is a response that people throughout an organization understand because it reflects the mission and goals of the organization.

Strategic response considers many questions, including the following:

- How will my/our response affect other aspects of the facility?
- How will my/our response move us toward the facility's mission, vision, and goals?
- What are the short- and long-term consequences of my/our response?
- What information do I/we have or need to get in order to respond?
- What do I/we understand about this situation that can inform my/our response?
- Why is this situation happening?
- What can I/we learn from this situation and my/our response?

Critical incidents will occur in facilities, but many events and circumstances can be anticipated and strategic responses can be developed before incidents occur. Although facilities must be able to respond to critical incidents, planning to deal with unforeseen events or changes while "staying the course" of the facility's mission is also valuable.

Responding strategically requires seeing both the forest and the trees, keeping the end point in sight while remaining flexible, and being able to change course when necessary and appropriate. Learning to respond strategically can improve staff morale and confidence, enhance safety and security, build a collaborative environment, and accomplish the facility's mission and goals.

Strategic Thinking: The Core of Strategic Planning, Management, and Response

Strategic thinking is the core of strategic planning, management, and response. It is thinking informed by a constant awareness of the **context** of the internal and external environments affecting your choices; recognition of the **consequences** of your decisions and actions in the short and long term; understanding of the **connection** between your decisions and the achievement of the organization's mission, vision, values, and goals; and the **conscious intent** to take advantage of opportunities that present themselves and transform challenges into opportunities. Strategic thinking becomes possible when people have the capacity to learn (in part because they are really in touch with a situation) and the resources to support that capacity (Mintzberg, Quinn, and Voyer, 1995).

Too often, we do not think strategically. In our lives at work and away from work, we react to problems without thinking about the consequences of our actions or words. We offer solutions without conferring with the people who identified the problem, who are experiencing it, or who have to implement new solutions. We shoot from the hip, and the results are often less than satisfactory. Our solution may turn out not to be useful or may be impossible to implement. We may solve a problem that is only a symptom of a larger issue that remains unsolved. We may make the situation worse.

These are just some of the short-term effects of failing to think strategically. In the long term, we hinder the way our facility, family, or community group functions. We lead people to believe we do not really care about them—their needs, their ideas, their experience, their solutions. Ultimately, we make it harder to solve the real problems.

Strategic thinking requires you to recognize that every decision you make and action you take have an impact on other parts of the facility. Ed Buss, former superintendent at Westville Correctional Facility in Indiana, where the pilot test of the models presented in this guide was conducted, saw this when Westville made the decision to go to 12-hour shifts. The consequences of this change extended to many areas beyond the expected ones, to issues such as daycare needs and distribution of paychecks. Strategic thinking helped identify the issues so that they could be addressed before they became problems.

Strategic thinking is what makes strategic planning, management, and response—and also the examination of organizational culture—come alive every day. John Schrader, an administrator at Westville, described strategic thinking in terms of solving Rubik's Cube®:

First, you examine it from different sides to see what you've got. Then you determine what parts you want to try to put into place first. After a couple of moves, you stop and examine it again to determine your next steps. Sometimes you have to back up and reverse some moves because they didn't get you where you wanted to be. Throughout the process, you always keep the final vision in mind to guide your way.

Strategic thinking:

Thinking informed by a constant awareness of the **context** of the internal and external environments affecting your choices; recognition of the **consequences** of your decisions and actions in the short and long term; understanding of the **connection** between your decisions and the achievement of the organization's mission, vision, values, and goals; and the **conscious intent** to take advantage of opportunities that present themselves and transform challenges into opportunities.

Strategic Thinking in Action

Don't Remove the Windows

The problem dated back over 25 years when the facility was converted from a mental health to a corrections facility. The offenders had always taken out the windows and staff had no answers or lacked the vigilance to stop it.

When I took the job, the commissioner told me she wanted the windows put in. This is a huge facility with 31 housing units, and there were nearly 1,000 windows out. So I asked the department heads for answers/recommendations. They all said every superintendent had tried to keep the windows in and failed. The officers were frustrated. The maintenance department was tired of replacing 1,000+ windows a year and blamed custody for not enforcing the rules. Custody blamed maintenance, saying the windows were not secured. None of the staff had any answers.

After spending some time thinking about the situation, I decided this was an awesome opportunity. I called the custody and maintenance staff together. I asked the physical plant director to give me three crews of his best offenders who could put in windows and would not succumb to pressures from other offenders. I asked custody for their best/strongest three officers (one for each complex). These officers would supervise the work and look each offender in the eye who lived near a window and make them sign a responsibility form and let that offender know they would be back the next day to ensure the windows were still in.

I then got on our facility television station and explained to the general population and staff that

the game with the windows was over. I told them all the windows would be replaced and offenders who resided in rooms with windows would fill out the responsibility form, and if the windows were removed in day room/common areas, the entire dorm would be locked down until I wanted the windows put back in. Needless to say, there was a lot of cynicism among staff and offenders.

One kitchen dorm tested me. They told me I could not lock them down because meals had to be prepared. I not only locked them down, I fired them all. They ate cold cuts (bologna and cheese) for about 3 days. I visited the unit daily and spoke with them about maturity/how a man should conduct himself, etc. Three of the offenders came forward and took responsibility for tampering with the windows. They were charged through our conduct adjustment board and sent to segregation. Shock waves were sent through the general population and staff were able to "stick their chests out" for a while and forget about past frustrations.

No windows have been touched since. A quarter-century problem was solved in 3 days. People still look back on this as an example of what can be accomplished when we work together.

—Ed Buss
Superintendent, Indiana State Prison
Former Superintendent,
Westville Correctional Facility
Indiana Department of Correction

What is the purpose of this example? By thinking strategically and innovatively about what the problem and its solution meant to the whole facility and being willing to lead, the superintendent was able to reach a creative solution to a longstanding problem.

Principles of Building Culture Strategically

Understanding the values and beliefs that underlie the concept of building culture strategically will help you implement this approach to strategic planning. The approach can be summed up in three fundamental principles:

- Planning and culture are closely linked.
- Planning needs to be a dynamic, ongoing process.
- Planning needs to be an inclusive process.

The principle that planning and culture are closely linked is the subject of the first two chapters of this guide. The second and third principles are explored below.

Planning Needs To Be a Dynamic, Ongoing Process

Planning is most successful when it is seen as a process that may have no clear end, although organizations may benefit from having a vision of what planning needs to be. Facilities constantly face change. Although you can plan well for the future, you can never know in advance all the possible situations, challenges, and opportunities your facility might face. It is important, then, to leave room for new strategies to emerge along the way from anyone in the facility and adopt a process that is nimble, flexible, and open. To foster a dynamic process, you must encourage people throughout the facility to think strategically, remain open to potential opportunities, and continuously reexamine what they do and why and how they do it. Above all, make sure all know they can share their ideas without risk of reprisal and with recognition for the value of their strategic thinking.

As the people in your facility experience a strategic planning process that is dynamic, inclusive, and grounded in an examination of the facility's culture, they are likely to contribute more fully to the facility's mission by creating what Peter Senge (1990) calls a **"learning organization"** (see sidebar on next page). As your facility becomes more of a learning organization, the planning will become even more dynamic, effective, ongoing, inclusive, and successful. People will see the long-term consequences of their decisions and actions and understand the impact of their decisions and actions on the facility as a whole. You will be able to measure your success not only by the production of a workable and worthwhile strategic plan, but by the positive change in the facility's culture. This change will be evident in the improving quality of life for staff and offenders and in the changes in outcomes that the planning process has identified as important to staff and offenders (e.g., fewer grievances, less absence, fewer incidents of violence, more offender involvement in programs, and, ultimately, a safer, more secure facility).

As the people in your facility experience a strategic planning process that is dynamic, inclusive, and grounded in an examination of the facility's culture, they are likely to contribute more fully to the facility's mission.

Planning Needs To Be an Inclusive Process

Too often, planning is accomplished by a handful of people at the top of an organization and handed off to those who must accomplish the work. Such an approach to planning misses out on the broad range of benefits to be gained by involving people at all levels of the facility and from all departments and shifts in the planning process. These benefits include:

- Building commitment to the planning process and to its successful completion.
- Creating a spirit of teamwork.
- Increasing the possibility of systems and strategic thinking.
- Fostering the recognition and development of leadership throughout the facility.
- Managing change more effectively.

The remainder of this chapter explores the benefits of an inclusive process in greater depth.

The Learning Organization

In *The Fifth Discipline*, Peter Senge defines learning organizations as “organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together” (1990: 3). A learning organization is based on five “disciplines”—ideas we understand and practices we master:

- Aspiring to **personal mastery** (being the best we can be in the context of the whole organization and achieving what means the most to us).
- Understanding our own and each other’s **mental models**, which are like the lenses through which we see the world (the way we think, understand challenges and situations, solve problems, use information, and decide how to act and what to believe).
- Engaging in **team learning** (learning how others learn, learning how to think together, and sharing what we learn).
- **Sharing a vision** of the organization (holding a common understanding of its purpose and future direction).
- Engaging in **systems thinking** (acknowledging that all parts of the system are interrelated and interdependent, that what happens to one part has an impact on the others, and that people make decisions and solve problems in the context of the whole).

Note that the four C’s of **strategic thinking**—context, consequences, connectedness, and conscious intent—support the development of systems thinking. Strategic thinking, which is at the core of strategic planning, management, and response, is a key component of systems thinking.

For a concise discussion of Senge’s theory of the learning organization, see Lannon-Kim (1990).

Building Commitment to the Planning Process

Generally speaking, people involved in a developmental process are more committed to its successful completion than those who are not. This model of planning requires the support and commitment of the facility leadership, staff, and the central office. When facility leadership changes, the commitment of the central office can help ensure the process will continue. The involvement of middle management is also critical. Because middle managers transmit information and attitudes up and down the facility hierarchy, they have considerable influence over the success or failure of the planning process. From their position in the middle of the organization, they may believe they have the most to lose when change occurs. Because staff they supervise will be on the planning teams, they may be concerned about a loss of power and control. When middle managers are made an integral part of the process, they are more likely to see its value, participate fully, and make it easy for the staff they supervise to participate fully in the work.

Involving all of the facility's key players in the planning process is as important to the continuity of the process as involving all levels of management. If people throughout the facility have been involved in the strategic planning process and found value in it, their investment in the process will help keep it moving forward, even as leaders leave. They become the champions of the work.

Malcolm Gladwell (2000) writes about “social epidemics”—ideas or styles that arise much in the way medical epidemics do: one person gets something and passes it on, others catch on, and the idea spreads. In some cases, the idea spreads beyond what Gladwell calls the “tipping point”—the point at which the change takes hold and things will not go back to the way they were.

Gladwell suggests that to create a movement, you have to create many small movements. He describes three types of people, each with a special gift and a special part to play in a change process:

- **Connectors:** Those few people who know many other people, live in many different niches and subcultures, and can bring and hold people together.
- **Mavens:** Those who connect us to new knowledge. When they learn about something they are eager to share it with other people and capable of doing so.
- **Salespeople:** Those who have the skills to persuade others to follow.

You can see how knowing who these people are in your facility and bringing them into your planning process can make a real difference in the successful outcome of your work.

Who are the connectors, mavens, and salespeople in your facility? What gifts do they have? How best can you bring them into the culture work?

Consider training/ education sessions for middle managers to examine issues of leadership, management, power, participative management, and their role in the change process.

Creating a Spirit of Teamwork

By involving many people throughout the facility, you begin to create a spirit of teamwork among them. They learn to learn together, share their mental models (especially their views of the world related to work), and begin to develop a shared vision for the facility—three of the five disciplines necessary for the development and maintenance of a learning organization.

Increasing the Possibility of Systems Thinking

Because people view the facility through their particular experience, any one person or group may not be able to clearly see the system or organization as a whole. As people work together, they learn more about aspects of the facility they have not experienced, which is the start of systems thinking, another of the five disciplines of a learning organization.

Working together teaches people about collaboration. When people with many different perspectives come together to think strategically and innovatively about the current realities and desired state of the facility, they begin to appreciate the competencies of their colleagues and learn how best to use them. They become more respectful of each other's perspectives and positions and come to value the diversity among the staff—not just their age, race, and gender, but their length of tenure, previous experience, and ways of thinking and problem solving as well.

If participants in the planning process share these new perspectives with their closest coworkers, all staff then may develop a broader view of the facility as a system. This broader perspective may in turn lead to better coordination of facility operations; broader based implementation of strategic thinking, management, and response; and, most importantly, increased security.

Fostering the Recognition and Development of Leadership

Leaders can use planning as a tool to develop human resources. For the most part, people rise to the level that is expected of them. You can use the planning process to help people learn about planning and systems thinking. Not only will you have a better plan, you will add to the skills of the staff, which leads to one of Senge's five disciplines: personal mastery. You will increase people's confidence in their own abilities and in the facility's leadership. You may see positive change in the way people lead and supervise.

Leadership, both formal and informal, already exists throughout your facility. Too often, leaders at the top fail to recognize, take advantage of, and develop the informal leaders in their organization who have the power to influence other people. By engaging informal leaders in planning, you affirm the value of what and whom they know and how important they can

be in the process of change. In Gladwell's terms, you value those who are mavens (those who have information and like to share it), connectors, and salespeople.

By developing the capacity of those already in leadership positions, you provide opportunities for them to be better at what they do and to be meaningful models for the facility. As people see their role in managing and operating the facility and understand the value they contribute, they will want to improve their skills and help others do the same. This outgrowth of planning enhances the culture of the facility and facilitates the accomplishment of the mission.

Managing Change More Effectively

Strategic planning may cause small and large upheavals during and after the process. The planning approach laid out in this guide encourages you to think about the positive and negative impacts of change early on in the process. By acknowledging the ways people may react to change and being prepared to respond as needed, you can help everyone feel safe and respected throughout the process. Following are some strategies for managing change more effectively:

- **Establish a clear plan.** Lay out a clear plan for your strategic planning work and the process of change that likely will accompany it. Doing so will allow for some people to move in and out of working groups without disruption to the process, which makes the process more dynamic.
- **Be clear about individual roles and responsibilities in the change process.** This could include introducing and responding to new ideas, clarifying how things work now, participating in ongoing planning and strategic thinking, and promoting a positive facility culture.
- **Establish effective, facilitywide communication.** Ideas and information need to get to the planners, who need to speak to the facility community through many different channels. People need to know what is happening, how they can influence the process, and what successes they can celebrate. Some people respond best to written communication, whereas others prefer either spoken or visual communication. A multifaceted communications strategy that provides for different methods and modes for ongoing communication is essential to the success of your planning process. Communications cannot be left to chance.
- **Build a climate of confidence in which people can work with integrity and without fear.** Staff will contribute the most to your facility when they believe their work will make a positive difference.

The next chapter discusses organizational change, including the role of leadership, in greater depth.

Strategic Thinking in Action

Planning To Keep the Plan Alive

I was appointed governor (warden) of Featherstone Facility in 1994, having completed a 2-year strategic management course. The facility was in trouble. Both staff and offenders regarded it as a very unsafe place to be. It had been designed 20 years before as a low-security industrial facility, concentrating its resources on reestablishing the work ethic in facility staff through its modern and extensive factory. The facility cried out for strong leadership and a sense of purpose. It was like a vessel lost at sea, being tossed about in a storm. The traditional methods of battering down the hatches had proved ineffective. The crew felt that the forces arrayed against them were too strong and it was inevitable that sooner rather than later, the ship would be overwhelmed. The facility had lost its original purpose and had failed to adapt to changing conditions.

Strategic planning was to be the solution that produced the changes necessary for a confident future. Simple “quick hit” security changes that made the facility safer for everyone prepared the ground for strategic planning. We made our facility safe by strong visible leadership. Our public actions were designed to build confidence at every level, leading from the front, promising teamwork, and communicating face to face with staff and offenders.

My promise was simple: “This is our facility and it lies with us to decide its purpose and its future.” Strategic planning and strategic management were the tools that we used. As said elsewhere in this guide, they were our sextant and compass. Those elements of the storms that we could control, we would. Elements that appeared out of our control, particularly financial cuts from the center, would not deter us from our sense of purpose but spurred us on to find alternative ways of progressing. At the heart of our strategic planning process, in which every member of staff was involved throughout a 2-year program, lay teamwork and communication.

Most people had never heard of strategic planning and so needed to be introduced to the whole process, to new ideas and new ways of operating. The first to be introduced to it were the senior managers, the leaders of the unions, and representative staff from all departments. After that initial 2-week introductory course, we embarked on a 2-year training program that would eventually involve everyone. Even though money was in short supply, we deliberately ring fenced money from the budget for this training program. There were the inevitable howls of protest, but successful change costs money in the short term. In the long term, we not only saved money through our changes but also generated new money through our factory.

Communication is the key to the creation of trust. From the very beginning, we set up regular face-to-face meetings at the institutional, departmental, and unit levels. We gave everyone—offenders as well as staff—the opportunity to voice their opinions, to ask questions, to seek clarification. There were regular bulletins, posters, and competitions. (An offender won the facility logo competition.) We created a planning committee, composed of representatives from across the whole facility, who worked full time on communication, training, and the coordination of the emerging ideas. This was a high priority, and it meant that colleagues had to absorb the committee members’ previous work into their own.

With trust comes pride. We wanted everyone to be proud of what we were doing together, so we created accountable teams for different parts of the facility’s operations. Each team was accountable to each colleague on the team and to the whole facility. We wanted to create consensus where possible and not permit those intransigently opposed to any change to deter us from our voyage. We didn’t create the strategic issues and priorities. They already existed. The process and the people involved in the process

Strategic Thinking in Action

revealed them and, in turn, everyone was personally involved in creating the strategies for dealing with them. Above all, we asked for patience. We didn't want to run before we could walk. We set ourselves a 5-year target and consistently went through the strategic planning process as new issues and new strategies emerged.

We developed a new sense of purpose. We became an "opportunity facility." Our mission statement, created not by senior management but through our strategic planning process, spoke of creating opportunities for offenders in a safe and secure environment to enable them to have a future outside the facility free from crime. The opportunity facility was the yardstick against which everything was measured. The key initiatives we took, the strategic issues and priorities we identified, the formation of accountable teams throughout the facility, the discussions we had with outside agencies—all were underpinned by our mission to provide an opportunity facility. Once again, we were moving forward at a pace that we chose, confidently meeting the challenges that arose and responding strategically.

I left Featherstone in 1998. I would like to be able to say that Featherstone has continued down the strategic planning and management path and has gone on from strength to strength, but it has not. Continuing with the nautical theme, Featherstone is very much in the doldrums these days. It hasn't totally lost its mission as an opportunity facility, but this no longer underpins its management. There are two major reasons for this disappointment. The first is that the

area office is not committed to strategic thinking and to the strategic process. Strategic planning takes the long-term view. The area office takes the short-term view. In retrospect, we failed to involve and enthuse people higher up the management chain in the organization and convince them that the long-term view was essential for sustained success. Strategic planning and management is a process that requires time and patience.

The second reason why Featherstone has lost its way again is that 4 years wasn't long enough to embed the strategic process so firmly into the facility that a new governor, irrespective of his/her background, would be swept up into the process. As difficulties have occurred, there haven't been strategic responses set against the facility's mission. Responses have been gauged against yearly targets set by the area office.

The primary lessons from the Featherstone experience are that the central office needs to be as committed to the process as is the facility and that time should be given for the process to become part and parcel of the fabric of the institution. Facilities cannot act in isolation from the central office. Superiors must be involved in and enthused by the process as much as the people working in the facility. The commitment of the warden to the process is paramount. Early transfer of the warden should, if possible, be avoided, but if unavoidable, the next person in post, chosen normally by the central office, should be as committed to the process as his/her predecessor.

—Christopher Scott
Wolverhampton, United Kingdom

What is the purpose of this example? If strategic planning is to be successful in the long run, both internal and external stakeholders must see the value of and be committed to the work, the process must be inclusive, and the vision must be clear.

CHAPTER 4

What Do We Need To Know About Change?

Strategic planning, management, and response require an understanding not only of your facility's culture, but of the process of change itself and how to direct that process. The move toward positive change requires an honest look at your current reality and the clear intention to move toward a better future.

As discussed in chapter 3, managing change more effectively is one of the benefits of a planning process that is inclusive. Change affects people in different ways: For many, it presents opportunities as well as challenges and spurs renewed energy, insights, and self-awareness; for others, change is threatening, arousing fears of loss of control or power and appearing to negate the value of past accomplishments. Both reactions are valid. Caring for, valuing, and recognizing the people involved in the change process and what some of them may have to give up as change occurs is part of what Peter Senge and colleagues (1999) call the "dance of change." This view goes beyond seeing change as a process to be managed. It also celebrates the possibilities that can accompany change and cultivates a sense of optimism about future strategic directions.

Levels of Change

Organizations often embark on a process of change without thinking through the kinds of change they are willing and need to make. In their often-cited book *Beyond Change Management*, Dean Anderson and Linda Ackerman Anderson (2001) describe three levels of change:

- **Developmental change:** Small, developmental change (some authors call this *transactional change*) that does not get to the heart of an organization and usually is not painful. The primary motivation for developmental change is to improve some aspect of work, and such change usually requires people to learn new skills and acquire new knowledge. One example would be skill development that comes through training.
- **Transitional change:** Change that usually occurs because people have identified a problem that needs to be fixed. Like developmental change,



The move toward positive change requires an honest look at your current reality and the clear intention to move toward a better future.

Think about what kind of changes the facility may need to make, and be sure you have the skills, tools, and resources you will need to prepare for the changes and carry them out.

transitional change does not require people to change their beliefs or how they think. It usually involves some change in structure, work practices, or systems. Examples might be changing search procedures after the loss of a tool in a work area or reviewing security in work areas.

- **Transformational change:** Change that most often occurs as a result of a conscious and designed process. Robert Quinn (2000: 41) refers to this as “deep change” and says it is like “walking naked into the land of uncertainty.” Transformational change may involve a great deal more pain than either developmental or transitional change and has the potential for bringing about deep and profound shifts in systems and cultures. Two examples are changing your approach to working with offenders from punishment to rehabilitation and moving from a hierarchical organizational structure to a participatory structure.

All three kinds of change may result from your strategic planning process. Think about what kind of changes the facility may need to make, and be sure you have the skills, tools, and resources you will need to prepare for the changes and carry them out.

Elements of Effective Organizational Change

As difficult as it is for many people to change, it is even more difficult for organizations. James Belasco alludes to this in the title of his book, *Teaching the Elephant to Dance* (1991), as do Robert Kriegel and David Brandt in their book, *Sacred Cows Make the Best Burgers: Developing Change-Ready People and Organizations* (1996). Everyone who writes about organizational change, however, acknowledges that it is inevitable, whether it is planned, is directed by an individual, or evolves as a result of what people see and learn. To consciously and successfully change an organization and its culture requires, at a minimum:

- A shared vision.
- A well-thought-out plan.
- Effective management of the work.
- Skill and commitment.
- Flexibility.
- Effective leadership.
- A willingness to learn.
- A capacity to identify and modify mental models.
- Ongoing communications.
- Inclusion.
- Respect for all people in the organization.

You can learn a great deal from exploring **best practices** around the country. Other facilities (and other kinds of organizations) likely have grappled with the issues you face and would be willing to share what they have learned. Whatever the organization, all effective institutional change shares certain elements:

- **Dedicated and skilled leadership and commitment throughout the organization.** These elements are especially important if the changes being implemented have the potential to be transformational. In considering whether you are ready for strategic planning, one of the questions to ask is whether the facility has the leadership—both formal and informal—needed for this endeavor. (Formal leaders have authority because of their position; informal leaders have influence because of who they are and who and what they know.) Beginning change and sustaining it are not the same things. They require different skills and levels of commitment. Introducing a new idea is relatively easy, but it can easily go by the wayside when the next new idea or new leader comes along. This is particularly likely to occur when those who initiate changes to facility operations do not communicate the significance or importance of those changes to the people around them. Getting compliance with change is not enough; widespread commitment will help sustain positive changes.
- **Coaching and mentoring.** Many people will require, deserve, and benefit from coaching and mentoring during a change process. Staff have the right to expect leaders to be focused on meeting staff needs and not just absorbed in accomplishing tasks. You should encourage staff to identify what they already know and what they can do and then encourage and assist staff in developing their capacity (skills, knowledge, abilities, and attitudes) to implement planned changes. If leaders fail to ensure that staff have the necessary resources and willingness to make recommended changes, both the leaders' credibility and staff morale will suffer, and efforts at change may falter.
- **Individual understanding of “What’s in it for me?”** Change occurs most readily when people know what some call WIIFM, “What’s in it for me?” As people experience change, they will recognize the cost to them. To participate willingly in the process, they also have to recognize the benefit and relevance of the change, not just to the facility but to themselves as individuals.
- **Modeling desired behaviors.** People who are in leadership positions during the change process must model the behaviors that will make it successful. Because people watch and listen to others even more than they may pay attention to orders issued down the chain of command, those directing the change need to make their intentions clear through their actions. Note that most people do not change longstanding behaviors quickly. You may see some people persist in doing things the old way, but this does not mean that the culture is not changing or that things will not, eventually, be different.

Formal leaders have authority because of their position. **Informal leaders** have influence because of who they are and who and what they know.

- **The need to feel safe during the change process.** People want to know they will be respected and valued for what they have accomplished and for what they know. They also must be welcomed into the planning process, especially if it addresses something specifically relevant to their work. Staff must feel safe to take risks without fear of reprisal and know that leaders understand their fears and anxieties. They need to trust the leadership throughout the facility. Leaders must pay close attention to these needs as the planning process progresses.
- **Including influential people.** If you exclude people who are influential (those who have power and influence for a variety of reasons), the change process may not succeed, not because it was not well planned or needed, but simply because some people were excluded or had different agendas from those being proposed.
- **Measuring progress and outcomes.** A change process needs to include a plan and tools for measuring progress and outcomes. Planners need to think continuously about what success will look like and how they and others will know they have achieved it. A measurement plan and the tools to measure success are essential and need to be established early in the process.
- **Communication.** Planners need to communicate (that means listening as well as talking) regularly and honestly, and others need to be able to have input along the way. Communication is critical to successful planning. Leaders need to listen “with intent to understand” (Covey, 1989: 235). People will talk whether or not they have accurate information. The best way to prevent rumors and misperceptions is to provide accurate information in a timely fashion and address issues as they arise. There is no substitute for effective communication that goes in all directions.
- **Conflict resolution.** Change often involves conflict. It is important to identify and resolve conflicts in a skilled and timely manner. Sometimes conflicts lead to great new ideas and new ways of “seeing systems” (Oshry, 1995). Oshry suggests that systems often are blind to a variety of things. Conflicts may help open an organization’s eyes to issues that need to be addressed.
- **Caution in labeling people “resistant.”** Describing someone as resistant is not helpful because it does not tell us much. We need to understand the cause of the resistance, not just the symptoms. Resistance derives from many factors, including fear, a sense of loss and grief, loss of control, anxieties about having the skill and knowledge to make required changes, real or perceived loss of power and influence, and skepticism (some of which may be healthy). Although recognizing people’s resistance is important, determining the cause(s) of the resistance and working to resolve them are more important. It also is important not to spend all your time and energy trying to bring everyone along. In the long run, those who cannot or choose not to envision a new facility culture might have to consider alternatives.

- **Patience.** People change at different rates. Some changes may come easily, others more slowly. Some changes cannot take place until other changes have been made. Patience is absolutely essential throughout a process of institutional change. Although some people may want the process to move at a faster pace than it does, you have to allow time for people to build understanding and commitment. Patience allows the process to move forward at a measured pace that will keep people from rushing headlong into changes without thinking clearly about consequences. A measured pace also makes it possible to sustain the work and ensure that everyone joins in the process.

All aspects of the facility need to be taken into account when people recommend change in one area of work and, as with the puzzle of Rubik's Cube®, more than one solution to the problem is possible. The process of finding the solution involves articulating the values that underlie the what and why of the way things currently are done and using wisely a variety of ways of seeing, knowing, and doing.

Organizational Learning Disabilities

Beware of what Senge calls organizational "learning disabilities" (1994:17–26). These include the following beliefs that may hinder staff's (and, therefore, an organization's) capacity to change:

- **I am my position.** Senge notes that "When people...focus on only their position, they have little sense of responsibility for the results produced when all positions interact" (1994:19).
- **The enemy is out there.** Sometimes people cannot or will not see that they are part of the problem and that the cause is not just someone else. This may limit their ability to feel like they have the power to do something about the challenges they face.
- **The illusion of taking charge.** People may think they are being proactive when, in fact, they are reacting to what someone else has done—to the "out there."
- **Fixation on events.** A focus on events may lead to failure to see patterns or the context for those events. This in turn may lead to attempts to fix the event (the symptom) rather than getting to the cause.
- **The parable of the boiled frog.** If you put a frog in boiling water, it may try to jump out, but if you put the frog in water that is at room temperature and then raise the temperature to boiling, it will stay in the pot. The frog reacts to fast rather than gradual change. Moving slowly and thoughtfully enables people to see processes and patterns and avoid knee-jerk reactions to events.
- **The delusion of learning from experience.** Because people do not always see the consequences of their actions directly, they may not be able to learn from their choices and actions.

All aspects of the facility need to be taken into account when people recommend change in one area of work.

To ensure that the staff understand and accept the need for and process of change, consider hosting a series of workshops on change for staff. Even if you involve only key formal and informal leaders, they will share what they have learned with others and apply it in their daily work, thereby promoting positive change.

- **The myth of the management team.** In many organizations, people talk about the management team and assume that such a team exists. We know, in fact, that in many organizations there is no management team—i.e., no group of people who derive energy from one another, enjoy working together, and produce high-quality results when they build on each other’s expertise, experience, and understanding of situations.

Leadership, Planning, and Change

There is much to say about the role of leaders in the processes of strategic planning and changing organizational culture:

- The change process will move forward when it is clear that the leadership (formal and informal) supports it and believes in its value.
- Although the leaders may already have a vision of where they want the facility to be, the process will move forward most effectively when the staff develop the vision collaboratively and all staff share it.
- Some leaders can manage change with ease; others cannot. If leaders believe that others in the organization might lead the change process more effectively than they would, they will do well to share the responsibility and know that, in the process, they are helping to develop future leaders.
- Leaders can jump-start the change process by attending to things that are relatively easy to do, may not require a lot of resources to accomplish, and would positively affect the quality of life of staff and offenders. This strategy is called “picking low-hanging fruit.”
- Leaders can help people understand the benefits and costs of planning strategically and examining facility culture as well as the risks of changing and not changing. They need to listen to and understand the concerns people have about what is expected of them and what they anticipate might happen to them as a result of this work.
- Leaders can help people see and listen to others’ perceptions of the inevitable internal and external challenges they will face as they plan.
- In a facility, management and staff must limit the chance for error. Leaders need to believe and help others see that if people are not given the opportunity to try new things and make mistakes (as long as security is not at risk), innovation and strategic thinking will be stifled.
- Leaders need to understand that it is easy for people to maintain habits of thought and action when those habits and the assumptions that underlie them are not questioned or challenged. Because such a lack of questioning is a hindrance to strategic thinking, planning, management, and response, leaders should help people become comfortable with questioning their own and others’ long-held beliefs and customary behaviors.

- Leaders need to be wise as much as they need to be knowledgeable. They need to understand and respect the power of the facility's culture, understand the intimate workings of the facility, and be wise in bringing change that might affect the culture—not in order to micromanage people, but to be able to act strategically when situations require.
- Leaders need to pay attention to the long-term consequences of their decisions about personnel with respect to the change process. For example, any transfers planned for staff should be implemented before the strategic planning process begins, so as to avoid the perception that the transfers are a result of disagreements over the change process. If planning is already under way, leaders must clearly distinguish decisions about promotions, demotions, or transfers from decisions about the change process to avoid generating fear or resentment of the process among staff.

Leadership and Change: One Warden's Example

The **mission statement** for one institution is that it:

Protects the public, staff, and offenders by providing a safe, secure, and humane environment for the most dangerous, disruptive, and diverse offenders. Our professional and dedicated staff provides opportunities to aid offenders in a successful transition back to other correctional facilities and society.

This institution's **vision statement** is **Together Everyone Accomplishing More.**

The warden of this institution recognized the importance of mission and vision in shaping the work environment, a high quality of life for offenders and staff, teamwork, effective management, and ongoing communication with staff. He believed in making small changes as people planned for the more profound and far-reaching changes. Observing that management had a paved lot and staff parked in a dirt lot, the warden got the staff parking lot paved. Realizing that staff did not have a decent place to eat, he gathered some staff and used a small amount of money from the budget to build a dining area. Understanding the importance of ongoing communication and of keeping people informed and connected, the warden started a facility newsletter that was published every other month. It contained a "Message from the Warden," news about people in the facility and their families, information about changes and events in the facility, articles from various departments, and inspirational writings.

Who are the formal and informal leaders vital to your planning process? How can you involve them in the planning process?

- Leaders must be able to understand, appreciate, honor, and build on the past to create the future. They should capitalize on what has worked, question what has not, and develop new patterns of thinking and action to move the facility closer to achieving its mission, vision, and goals—that is, to achieving its plan and potential. According to Mintzberg and colleagues (1995: 118), “Managers may have to live strategy in the future, but they must understand it through the past.” In fact, strategic planning is a process of creating the history of the future.
- To be effective in a change process, leaders may need to meet the criteria for the first four levels of Jim Collins’ leadership hierarchy, explained in his book *Good to Great* (2001: 20):
 - **Level 1: Highly capable individual**—Makes productive contributions through talent, knowledge, skills, and good work habits.
 - **Level 2: Contributing team member**—Contributes individual capabilities to the achievement of group objectives and works effectively with others in a group setting.
 - **Level 3: Competent manager**—Organizes people and resources toward the effective and efficient pursuit of predetermined objectives.
 - **Level 4: Effective leader**—Generates commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards.
 - **Level 5: Executive**—The ability to build enduring greatness through a paradoxical blend of personal humility and professional will. Change may come most easily in organizations whose leaders achieve this level.

Clearly, leaders play essential roles in initiating and sustaining successful strategic planning. Who are the formal and informal leaders vital to your planning process? How can you involve them in the planning process?

Correctional Leadership Competencies

Two recent publications from the National Institute of Corrections address the importance of leadership in correctional settings. *Correctional Leadership Competencies for the 21st Century: Executive and Senior-Level Leaders*, and its companion document, *Correctional Leadership Competencies for the 21st Century: Manager and Supervisor Levels* (Campbell, 2005, 2006) explore the competencies needed by correctional leaders and identify the key skills and behaviors related to each competency. To obtain a printed copy or download a copy of either document, visit the NIC Web site, www.nicic.org.

Section 3

Rubik's Cube® Model of Strategic Planning®



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CHAPTER 5

Rubik's Cube® Model of Strategic Planning®

Rubik's Cube®, the puzzle with six differently colored sides and an internal mechanism that allows the sides to be turned, is as fitting a model for strategic planning as it is for organizational culture (see chapter 1). Turn one side, and the relationships among the nine squares on each of the sides change. The same is true in a facility. Any action you take or decision you make affects the whole facility, even if it is not obvious at the time. Each side of the Cube®, like each department in a facility, is unique, but all sides—and all departments—are necessary to form the whole. Finally, because the Cube® is a puzzle you solve with your head and hands, and a dynamic puzzle with more than one solution, it aptly embodies a different concept of planning: one that goes beyond creating a static document to creating a new direction and new ways to achieve it. In the words of Mintzberg and colleagues (1995), the Cube® Model of Strategic Planning is a process of “crafting strategy.”

How Does the Cube® Model of Strategic Planning Work?

The Cube® model associates a specific part of the planning process with each of the six sides of the Cube®, as shown in exhibits 2 and 3. Strategic thinking, which is needed for every aspect of planning, is associated with the “gears” at the core of the cube. For each part of the planning process/side of the Cube®, the model provides a set of nine questions (reflecting the nine pieces that constitute each side of Rubik's Cube®). Six teams—one for each side of the Cube®—are established to explore and respond to these questions. There is also a set of core questions on strategic thinking that all the teams can respond to. Options for working with the strategic thinking questions are discussed in this chapter (page 55) and in chapter 6 (see “Begin With the Core Questions,” page 93). The model encourages involving staff from all shifts and all departments in the planning process and including offenders where possible.



Any action you take or decision you make affects the whole facility, even if it is not obvious at the time.

Each set of questions in the model is guided by the overall purpose of the work related to a specific part of the process. You will notice that some questions appear on more than one side of the Cube® and that there is some overlap in the work of the teams (see “Team Connections” at the end of this chapter). This repetition and overlap are intentional. Some issues

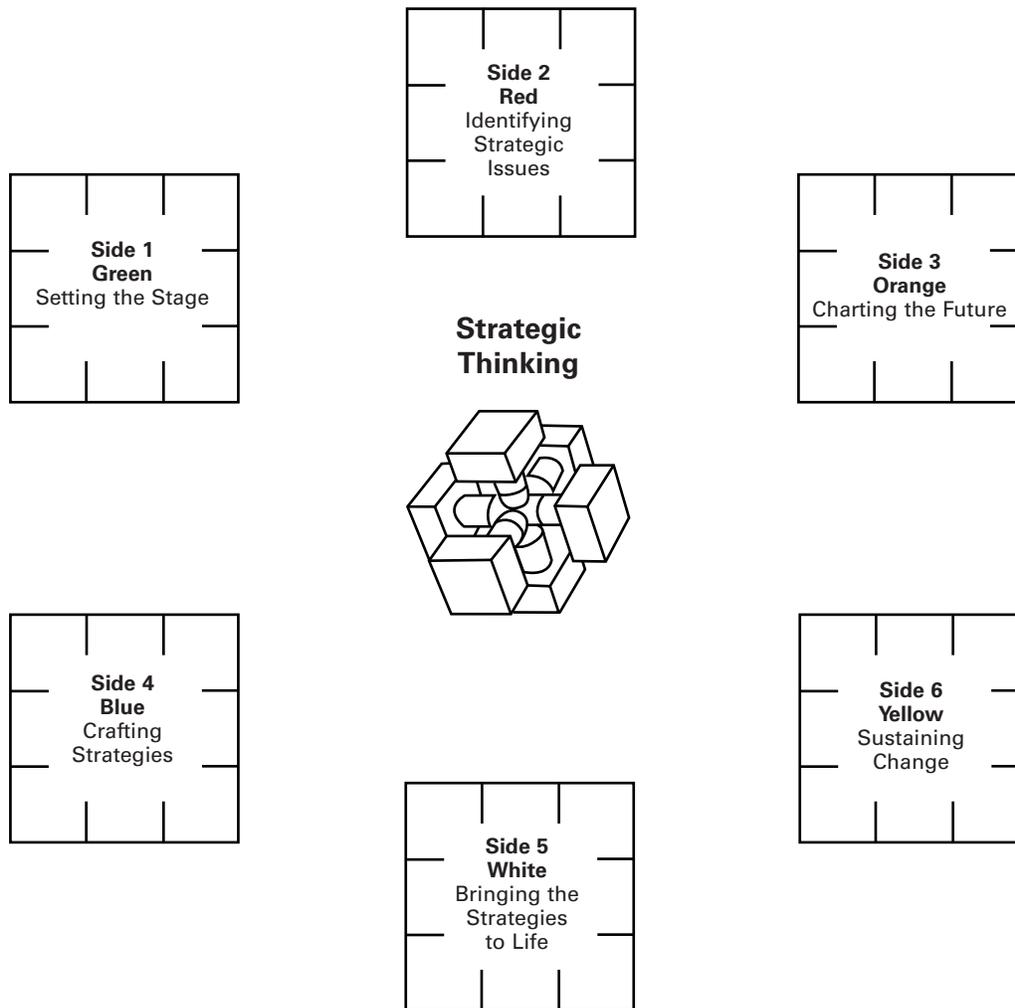
Exhibit 2. Strategic Planning Model

Part of Planning Process	Side/Color of Cube	Purpose
Strategic thinking	The gears: The core of the strategic planning cube	Clarify what strategic thinking means in your facility, how it can be encouraged, and the impact it will have on how the facility works.
Setting the stage	Side 1: Green	Identify all that is necessary to encourage strategic thinking and ensure effective facilitywide planning in the context of your facility’s culture and its external influences.
Identifying strategic issues	Side 2: Red	Identify the challenges your facility faces; the core competencies, skills, and values necessary to meet those challenges; and several strategic issues the facility needs to address.
Charting the future	Side 3: Orange	Create perspective and context for the planning work, set the vision for the future, and prepare for change.
Crafting strategies	Side 4: Blue	Examine the effectiveness of the current culture, programs, and services; identify what needs to change; and consider how to assess the changes that planning creates.
Bringing the strategies to life	Side 5: White	Establish goals and objectives, consider ways to bring strategic thinking into daily operations, and assess progress toward meeting the goals.
Sustaining change	Side 6: Yellow	Explore ways to involve all stakeholders in ensuring success, monitor and share information about progress, and build on what you learn and do successfully.

should be addressed by everyone engaged in the process, and planning is not something that can be neatly delineated and compartmentalized. Because a facility's overall culture includes both the staff culture and the offender culture, some of the questions posed by the Cube® model focus on issues related to offenders.

For more information on the role of the teams in the Cube® model, see chapter 6, "Implementing the Cube® Model of Strategic Planning."

Exhibit 3. Diagram of Rubik's Cube® Model of Strategic Planning®



Tools To Help You With Your Work

The following appendixes contain a variety of tools to help you with your work:

Appendix B. Data-Gathering Tools:

- Initial Assessment of Need for Strategic Planning and Culture Examination.
- Facility Strategic Planning Readiness Checklist.
- Sample Interview and Group Conversation Questions.
- Looking at Our Current Reality.
- Communications Assessment.
- Collaboration Status Assessment.
- Looking at Our Strategic Planning Process.

Appendix C. Planning Tools:

- Minutes of Our Team Meeting.
- Summary of Responses to Our Team's Questions.
- Strategic Planning Timeline.
- Strategic Management Timeline.
- Responsibility Chart.
- Change or Decision Checklist.

Appendix D. Guidelines for Using the *Organizational Culture Inventory*®

Strategic Thinking: The Core of the Strategic Planning Cube

The purpose of this work is to clarify what strategic thinking means in your facility, how it can be encouraged, and what impact it will have on how the facility works.

Answering the following questions before you begin the questions for each side of the Cube® can help the teams focus on the work they have to do and might also clarify strategic thinking for the staff. You have several options for working with the strategic thinking questions. The process manager and team facilitators might meet to respond to these questions and then share their answers with their teams and perhaps with all the staff (for explanations of these roles, see “Key Personnel” in chapter 6, pages 77–81). Alternatively, you might choose to form a group composed of several members from each team to respond to these questions. Another possibility is to have each team respond to some or all of the strategic thinking questions. You might include several staff members who are not on a team in the meeting. Share the final responses with department heads and staff to get their feedback and input.

1. What does strategic thinking mean for us in practical terms?
2. How can we teach ourselves to think strategically and learn together?
3. How will we know we are doing this successfully?
4. How will our facility benefit from thinking about issues strategically and not just operationally?
5. How can we integrate thinking and planning strategically with daily operations and routine tasks?
6. What are the challenges in doing this?
7. How and what can we learn from others about strategic thinking, including those in fields other than corrections?

Possible work outputs from these questions include, but are not limited to:

1. A definition of what strategic thinking means for your facility.
2. Strategies to help people learn to think strategically and be willing to do so.
3. A list of the benefits of strategic thinking for each person.
4. A list of what might make strategic thinking difficult or risky and of what to do to prevent these barriers to strategic thinking.
5. Examples of situations that were not handled strategically with descriptions of how they would have been handled if people had been thinking strategically.
6. A list of resources that might provide information about how to use strategic thinking in the workplace.

Setting the Stage (Side 1: Green)

The purpose of your team's work is to identify all that is necessary to encourage strategic thinking and ensure effective facilitywide planning in the context of your facility's culture and its external influences.

1. How ready are we as an organization for strategic thinking and planning? What do we need to do to get ready? What strengths do we have?
2. What do we hope to accomplish through strategic thinking, planning, management, and response?
3. What resources (e.g., people, money, time, communications plan, external help) do we need to do the best planning work?
4. How and where will we get or develop these resources?
5. What is the culture (the values, assumptions, and beliefs that drive the work) of our facility, and how will it help or inhibit the success of our planning work? What are the subcultures in the facility? (See the glossary for examples of areas in which you might want to explore values.) If we completed the *Organizational Culture Inventory*[®] (OCI), what did we learn from this exercise? How can we best use that information to guide our work? (For more information about the OCI, see chapter 8, page 112, and appendix D.)
6. How and when will facility management and staff be involved in the planning teams and in providing input and feedback?
7. Who will provide leadership for the process and how can they lead it most effectively? How will we build commitment to the planning process and the outcomes?
8. Who are our stakeholders? What do they expect and need from us?
9. What mandates do we have and where do they come from?

Possible work outputs from these questions include, but are not limited to:

1. A summary of results of a randomly selected group of people who completed the "Facility Strategic Planning Readiness Checklist" (see appendix B).
2. A summary of the results of the OCI, if administered, both from the people who participated in the organizational meeting and from those who completed the OCI prior to that meeting. This would be a useful summary to share throughout the facility.
3. A list of the capacities (skills, knowledge, strengths, and abilities) people have that will enable them to develop/implement a strategic plan and culture change.

4. A list of the benefits of strategic thinking, planning, managing, and responding. It would include benefits to individuals, to the facility as a whole, and perhaps to the department.
5. A specific look at how people will accomplish work more effectively and efficiently as a result of strategic thinking, planning, and responding.
6. A list of resources you will need to do the work.
7. A list of values that would help strategic thinking and positive culture change. This list would be compiled from throughout the facility, not just your team, and might also invite input from external stakeholders.
8. A list of areas/issues in which values regarding strategic thinking and positive culture change might be established.
9. A list of ideas about how to use a team approach in the facility to solve problems, bring change, and get work accomplished.
10. A list of ideas about how to get staff at all levels really involved in the planning process and in thinking strategically.
11. A list of ways to engage people to build their commitment beyond mechanical and superficial involvement.
12. A list of characteristics important for leaders to have to make the process work and encourage strategic thinking, managing, and responding.
13. A list of ways to ensure ongoing, accurate, and timely communication throughout the planning process (joint project with Yellow Team). Provide suggestions about how to implement these ideas.
14. A list of facility mandates that affect your work.
15. A list of stakeholders and what their interests and needs are with regard to the facility.

Identifying Strategic Issues (Side 2: Red)

The purpose of your team's work is to identify the challenges your facility faces; the core competencies, skills, and values necessary to meet those challenges; and several strategic issues the facility needs to address.

1. What are the challenges/opportunities in our facility (e.g., with regard to management, staff, offenders, technology, budget, programs, etc.)?
2. What are the challenges/opportunities from the world outside the facility (examples might include the central office, the legislature, the Governor, voters, victims and their families, private facilities, or the media)?
3. How can we overcome the challenges and benefit from the opportunities identified in questions 1 and 2?
4. What is working well—i.e., what do we want to keep? What is not working well—i.e., what do we want to stop or change? What data do we have/need to support our responses?
5. How can we be more effective in the way we work and the work we do? From whom can we learn about best practices?
6. How can we most effectively develop and use leadership at all levels of the facility?
7. What capacities (e.g., skills, knowledge, abilities, attitudes, time) do we need to build and support to encourage strategic thinking and planning?
8. What significant strategic issues does our facility face now? What strategic issues are we likely to face over the next few years?
9. When we are successful in addressing the strategic issues and challenges we face, how will everyone benefit?

Possible work outputs from these questions include, but are not limited to:

1. A list of the internal challenges/concerns/problems the facility faces.
2. A list of the opportunities for strategic thinking, planning, and culture change within the facility.
3. A list of the external challenges/concerns/problems the facility faces and suggestions of ways to overcome them.

4. A list of the strategic issues the facility faces, compiled with input from the other teams and the staff. (This list would be useful to share with the Orange and Blue Teams as soon as it is complete.)
5. A list of forces, behaviors, attitudes, and ways of doing things that might inhibit you from thinking, planning, and responding strategically and from changing your culture and ideas about how to overcome these obstacles.
6. A list of forces, behaviors, attitudes, and ways of doing things that might help you move forward and ideas about how to enhance/strengthen the items on this list.
7. A list of programs/services/ways of working that are and are not working well and a list of reasons to explain your response.
8. Data (quantitative and qualitative) to support the answers to question 7. (These data might come from the facility and/or central office.)
9. Ideas from research into how other facilities around the country are offering similar services and what you can learn from them/share with them. This research would be helpful to share with the rest of the staff.
10. A facilitywide definition of effective leadership at any level.
11. Ideas about how to identify, build, and support leadership around the facility, including detailed recommendations about how to cultivate leadership (e.g., training, coaching, mentoring).
12. A list of the core skills/characteristics that people in your facility (both staff and offenders) need in order to develop the capacity to think, plan, and respond strategically.
13. Additions to the list of values that form the basis of positive work and working relationships. (See the possible outputs for the Green and Orange teams. These are values that would be based on strategic thinking and lead to strategic management and response.)
14. A written profile or list of specific changes derived from a detailed look at how the facility will function if the work of this project (your team, the other teams, and the rest of the staff and offenders) is successful.
15. A comprehensive and detailed list of the changes you and others around the facility think need to be made in order to move toward the culture identified as the one people want and toward ongoing thinking, planning, managing, and responding strategically.

Charting the Future (Side 3: Orange)

The purpose of your team's work is to create perspective and context for the planning work, set the vision for the future, and prepare for change.

1. What do we need to understand and appreciate about our history and our current reality as we chart our future?
2. What values do we need to establish to achieve our vision, accomplish our mission, and deal effectively with the strategic issues we identify?
3. What are the mission and vision that our strategic thinking and planning will lead us to accomplish?
4. How do we keep the whole picture before us as we move toward planning the details, making small changes as we plan for the larger ones?
5. What do we need from leaders at all levels of our facility to move to the future we envision?
6. What will be the impact of our decisions on our criminal justice system (e.g., our facility, the department/agency, the court system)?
7. What capacities do we need to create to move successfully to the future we want? (Capacities include resources, such as staff and money, as well as less tangible things such as skill level, knowledge, willingness, and commitment.)
8. How can we prepare for the change process, addressing concerns people may have about changes that might occur?
9. What do we have to do to sustain the changes that result from thinking and planning strategically?

Possible work outputs from these questions include, but are not limited to:

1. A brief written history of the facility, perhaps including important events, perspectives on leaders, a look at the facility's heroes and heroines (and why people see them that way), and major changes the facility has experienced.
2. A detailed look at how the facility is now—for example, how it functions; how people interact, solve problems, communicate, and so forth; leadership and management styles and how they affect the culture and the potential for change; who the informal leaders (staff as well as offenders) are and how they influence life in the facility and working relationships.

3. A statement of the mission and vision for the facility, based on the work of your team with input and feedback from the rest of the staff and perhaps external stakeholders.
4. A detailed description of the future of your facility that might result from the work involved in this process.
5. A list of changes your facility can make that will improve the quality of life relatively quickly (i.e., the “low-hanging fruit”).
6. A list of longer range changes you think will encourage strategic thinking, planning, managing, and response.
7. A narrative about the way the department as a whole might be affected by your facility’s work.
8. A list of the capacities (including skills, knowledge, attitudes, abilities, time) that are currently represented among facility staff and those that need to be cultivated in order to develop and implement a comprehensive strategic plan and culture change. A list of ideas about how to develop the capacities you see are lacking or are not developed well enough.
9. A list of values that will facilitate successfully addressing the strategic issues you identify, and encourage strategic thinking, planning, managing, leading, and responding throughout the facility.
10. A list of the characteristics and behaviors of leaders (both formal and informal) from throughout the facility that will help or hinder the strategic planning work, with ideas about how to further develop the characteristics that need to be strengthened.
11. A narrative about how people in your facility see change, based on past and current events, attitudes, and perceptions, accompanied by a plan for how change can be brought about so that it is an inclusive process that creates the culture and quality of life people want. This might involve training about change and how to manage it.

Crafting Strategies (Side 4: Blue)

The purpose of your team's work is to examine the effectiveness of the current culture, programs, and services; identify what needs to change; and consider how to assess the changes that planning creates.

1. What programs and services do we need to fix or add to make us more effective and efficient?
2. What will be the costs and benefits of the changes we propose?
3. What is effective in our culture, management, communications, and communications planning? What needs to change?
4. What will be the costs and benefits of these changes?
5. What might be the changing needs of our customers and stakeholders? How will we know or find out?
6. How can we set priorities among the strategic issues our facility faces, balancing what might be conflicting needs?
7. What is the role of leadership at all levels of the facility in clarifying and supporting the strategies? How do we develop leadership throughout the facility?
8. How will we measure our progress in meeting our goals, addressing the strategic issues, and changing our culture? That is, what tools do we need to create or revise to measure our progress, and how will we create or revise them? (See appendix B for tools you might use.)
9. How can we build ongoing measurement (performance measurement at both the individual and facility levels) into our operations?

Possible work outputs from these questions include, but are not limited to:

1. A list of programs and services that could benefit from changes and why. (Including the costs and benefits of the changes would be helpful.)
2. A plan to build commitment to the changes in facility culture and programs—that is, how you will engage staff and offenders as you move toward the new culture.
3. Suggestions for encouraging, documenting, and following up on new ideas and strategies related to your work and the new direction of your facility culture.
4. Suggestions for ways to take the strategies generated through the formal planning process in which you are engaged and build them into the daily operations (practices and procedures) of your facility.
5. A list of ways to encourage staff to think innovatively and a list of areas in the facility that might allow for innovation, keeping in mind the need to ensure the safety and increase the quality of life of staff and offenders.

6. Ideas for how to put the strategic issues that have been identified for your facility into action in practical ways. (This task would involve using strategic thinking to decide what needs to change versus what should remain the same.)
7. Suggestions for developing the kinds of leadership your facility needs to move toward the new culture, incorporate strategic thinking at all levels of the facility, and manage and respond strategically. A list of characteristics needed in the leadership to accomplish these goals. Ideas about how to achieve this level of leadership at all levels of the facility.
8. Suggestions about how informal and formal leaders among staff and offenders can effect a change in culture, thinking, and practice. Ideas about how to develop and cultivate new leaders.
9. A written statement about power in your facility—who has power, how they get and keep it, and the different kinds of power different people have.
10. A list of the people/groups who have a stake in your work, with ideas about what they want and need from your facility (see “Stakeholders in Facility Strategic Planning” in chapter 1). (Suggestion: Compare your list to the programs and services the facility currently offers and to the ways in which the facility operates. Look at the gap between the two and develop ideas about how to close the gap. Think broadly about the stakeholders—from staff to offenders, other departments within the facility, the central office, to stakeholders outside the correctional system—and conduct interviews and focus groups with people from whom you need to gain information and perspective. See “Sample Interview and Group Conversation Questions” in appendix B for ideas about questions to ask.)
11. A list of priorities for the facility—what needs to be done, in what order, and why each is important. (Note: These will develop, in part, from the list of strategic issues.)
12. Ideas for ongoing communication about the work, the plans (once they are developed), and how to manage in new ways. (This would be done in conjunction with the Yellow Team.)
13. An indepth examination of the culture of your facility that identifies what needs to change in order for it to move toward the culture people say they want and need. (Suggestion: List the costs and benefits of the changes you identify. Work with other teams to develop suggestions for how to bring about change.)
14. A list of ideas (tools, processes) about how to measure your progress. (You might find useful several of the tools included in appendix B.)

Bringing the Strategies to Life (Side 5: White)

The purpose of your team's work is to establish goals and objectives, consider ways to bring strategic thinking into daily operations, and assess progress toward meeting the goals.

1. What goals are necessary to address the new strategic direction, values, and vision?
2. How can we best link the strategic issues to the day-to-day operations of the facility?—i.e., how can we connect our thinking to our actions?
3. What capacities (skills, knowledge, abilities, attitudes, willingness, commitment) do we need to develop/enhance/support to ensure the decisions people make reflect the strategic direction, values, and vision of the facility?
4. What might help or hinder us?
5. How do we stimulate innovation at all levels of our facility, creating an “epidemic” of new ideas based on best practices and past successes?
6. What will we need from leadership throughout the facility to assure success and how will we get what we need?
7. How do we learn to learn from our successes and failures?
8. What do we have to do to assure our progress in meeting our goals, addressing the strategic issues, and changing our culture?
9. How and when will we celebrate our successes?

Possible work outputs from these questions include, but are not limited to:

1. A list of goals and objectives based on the strategic issues and directions identified by the other teams and an action plan (i.e., who has to do what by when and how the work will be measured and evaluated) to accomplish them. (Suggestion: Keep strategic thinking at the core of your conversation.)
2. A list of ways to link the strategic issues and the work needed to address them with the day-to-day work in your facility—that is, to decisions, interactions, the work of programs and services, and so forth.

3. A list of ideas to engage people in strategic thinking on an ongoing basis. (Suggestion: Consider the tools, information, and skills needed for strategic thinking and what in the facility's operation might facilitate or inhibit this—e.g., rewards and punishments.)
4. Ideas about how to incorporate strategic thinking, planning, managing, and responding into performance reviews.
5. A list of the capacities (skills, knowledge, abilities) people need to have to think and act strategically, including ways to develop those capacities and measure them.
6. Ideas about what can be done in your facility to keep new ideas coming during and after the planning process, including what managers and supervisors need to know and do to make this possible.
7. Ideas about how to encourage ongoing learning in all areas.
8. Ideas about how to celebrate successes.
9. A list of what the facility will need from its formal and informal leaders to assure ongoing strategic thinking and planning.

Sustaining Change (Side 6: Yellow)

The purpose of your team's work is to explore ways to involve all stakeholders in ensuring success, monitor and share information about progress, and build on what you learn and do successfully.

1. How can the department and other stakeholders assist and support us as we improve and move forward?
2. What do managers, supervisors, and staff have to know/learn/do to stay committed and ensure movement toward successfully addressing the strategic issues?
3. How can we keep offenders informed of and involved in achieving successful action on the strategic issues? What can we learn from them?
4. How can we continually share information about progress with the facility, the agency, and the public?
5. How can we measure individual and organizational performance?
6. How do we make our formal and informal planning a loop that may start in different places and at different times yet always feed back into itself?
7. How can we cope with barriers and threats to our change process and with the decisions we make?
8. How can we ensure that we pace ourselves so that we do not move too quickly or too slowly as we coordinate our work?
9. How do we build on our individual and organizational successes?

Possible work outputs from these questions include, but are not limited to:

1. A list of groups of people, both within and outside your facility, who have a stake in your work and ways they can provide input to and help with the planning process and with accomplishing the work identified through this process.
2. A list of the capacities (skills, knowledge, abilities, attitudes, willingness, commitment) managers and supervisors need to move the culture and ensure strategic thinking, planning, managing, and responding on an ongoing basis. Ideas about how to build and strengthen those capacities. Ideas about how managers and supervisors can ensure an improved quality of life for staff and offenders.
3. Ideas about how to involve offenders in your facility in the work this process involves on an ongoing basis. (You may get some ideas through conversations with offenders.)

4. Ideas about how to keep communication about the process and the work ongoing, including what information should be shared, with whom, how, and when. (Suggestion: Work on this with other teams, especially the Yellow Team.)
5. Suggestions for ways to monitor and measure all the work that comes from this planning process and for ways to measure individual performance in areas identified as important. (Suggestion: Work on this in conjunction with other teams, with help from people outside the facility if necessary.)
6. Ideas about how to keep the work of all the teams connected.
7. Ideas about how to keep the strategic planning work ongoing and connected to the daily life of your facility, including ideas about how to contribute new ideas to the planning process, both formally and informally, on an ongoing basis.
8. A list of the forces, behaviors, perceptions, and attitudes that might impede or facilitate (1) the work involved in the planning process and (2) the work set out by the process, accompanied by suggestions about how to address these aspects and a plan to implement the suggestions.
9. Ideas about how to deal with so-called small issues at the same time your work tackles the larger issues. Ideas about how to keep the work of this process moving, even when it seems to some people to be “going on too long.”
10. Ideas about ways to help individual staff members and departments develop their potential and be successful.
11. Ideas about how to build commitment to this planning process and the work that comes from it. Ideas about ways to build on your facility's successes and not be deterred by the difficulties you might encounter from inside and outside your facility.

Team Connections

In the Cube® Model of Planning, the teams' work is interdependent. Each team will answer some questions that relate to or are dependent on the work of other teams. Exhibit 4 maps these connections. You may find others.

Exhibit 4. Team Connections

Team and Question Number	Other Teams' Question Numbers					
	Green	Red	Orange	Blue	White	Yellow
Green						
1		1, 7	1			
2		5	6	1		
3			1			1
4			5	7	6	
5			1-3	3		
6						3, 4
7		6	5	7	5, 6	2
8			6	5		1, 3, 4
9	—	—	—	—	—	—
Red						
1	1		1			7
2	8					7
3			7, 8		3, 4	2
4			1	1		
5				1, 3, 4		5
6	7		5	7	5, 6	2
7	1		7		3	
8			3	6	1, 2	
9			6	2, 4, 8, 9	5, 7	9

—, no overlap.

Exhibit 4. Team Connections (continued)

Team and Question Number	Other Teams' Question Numbers					
	Green	Red	Orange	Blue	White	Yellow
Orange						
1	3	1, 2		1, 3		
2	5				1	
3	—	—	—	—	—	—
4					2	
5	6, 7	6, 7				
6		9		2, 4, 8, 9	5, 7, 8	5, 7, 8, 9
7	1	7			3	
8	—	—	—	—	—	—
9				8, 9	7–9	8, 9
Blue						
1		5	6			
2		9	6		5, 7, 8	5, 7–9
3	5	1	1–3			
4	5	1	1–3			
5	8				2	
6		8			2	
7	7	6	5		5, 6	2
8			6		8	5, 9
9			6		8	5, 9

—, no overlap.

Continued on next page.

Exhibit 4. Team Connections (continued)

Team and Question Number	Other Teams' Question Numbers					
	Green	Red	Orange	Blue	White	Yellow
White						
1	5	8	2	1, 3, 6		
2			9	6		
3	1	7	7			
4			9			1, 7
5			4			6, 9
6	7		5	7		
7			9			9
8			9	9		5, 9
9			9			9
Yellow						
1	3		1	5	4	
2	7	7	5, 8	7	3-5	
3	—	—	—	—	—	—
4	6		4		7	
5				8, 9	8	
6		9	9	8, 9	7-9	
7		1-3			2, 4, 7	
8			9		8	
9		9	9	9	5, 7-9	

—, no overlap.

CHAPTER 6

Implementing the Cube[®] Model of Strategic Planning

Though no prescribed timeline exists for working through the strategic planning process, establishing timelines for each team and for the process overall is important. Timelines provide a sense of coordination, collaboration, and order. This chapter provides information you can use as a guide in creating the timeline and the flow of work for your strategic planning process. The chapter outlines the tasks that need to be accomplished in each of five stages:

1. Assess your facility's readiness for strategic planning.
2. Lay the groundwork.
3. Plan and hold the kickoff meeting.
4. Hold team meetings.
5. Draft the strategic plan.

For a complete outline of the planning process, see page 103. As you think through how the process will work most effectively in your facility, you may find that you need to modify the steps or sequence of tasks presented. NIC recommends working with a facilitator trained by the agency, who can guide your facility through this process.

Strategic planning using the Rubik's Cube[®] Model of Strategic Planning (hereafter, the Cube[®] model) is an inclusive, facilitywide experience, and examination of the facility's culture is an integral part of the model. Accordingly, the process described in this chapter involves staff from throughout the facility in every stage of implementation. For the process to succeed, the planners must keep track of all the ideas generated by the six Cube[®] model teams and must work together to create the strategic plan.



Stage 1: Assess Your Facility's Readiness for Strategic Planning

The steps in this stage of the planning process are as follows:

- Share this guide with key staff.
- Decide whether this model of planning and culture examination is right for your facility.
- Determine the facility's readiness for strategic planning.
- Determine the level of support you have from the central office.
- Estimate costs to assess whether you have the financial resources you need. Determine whether you need funding or technical support and which sources you might contact to obtain them.
- Build trust and credibility among the staff. People may need to know you care before they care what you know.

Before undertaking this strategic planning process, you need to be sure that it will accomplish what your facility needs. If you have not yet read through this guide, do so now, with special attention to "Section Two: Organizational Culture and Change" and to the questions and possible work outputs for side 1 of the Cube® model, "Setting the Stage" (pages 56–57). This material will give you some idea of the matters you will want to consider as you begin the planning process. You should address some aspects of the implementation process even before you start to work on the Cube®.

Determining your organization's readiness for strategic planning is a critical first step. Your assessment should evaluate both the potential usefulness of strategic planning and management to your facility and the resources at your disposal. As part of your assessment process, hold a meeting of facility leaders to discuss these issues. Any organizational, political, or resource barriers to doing strategic planning are best identified early on. If you encounter significant barriers, you might want to postpone strategic planning until they can be resolved (see "Potential Challenges You Might Face," page 74).

Assess the Potential Usefulness of Strategic Planning to Your Facility

To help you determine whether strategic planning and culture examination would be useful to you, other facility personnel, and offenders, two tools are provided in appendix B:

- Initial Assessment of Need for Strategic Planning and Culture Examination.
- Facility Strategic Planning Readiness Checklist.

Look Ahead to Strategic Management

Strategic planning, management, and response are all part of the same process. Section 4 of this guide provides a formal model for developing strategic management in your facility, but the work of that model is intertwined with the work of strategic planning. The process of developing your strategic plan may also bring about changes in management and response. You may find it helpful, therefore, to read the material on strategic management in section 4 as you assess your facility's readiness for strategic planning. Reviewing this material now can help you decide whether to begin work on strategic management during your planning process and at what stage of the planning process to introduce this work. You do not have to wait until your strategic plan is written to begin implementing formal work on strategic management.

Ask individual managers and staff to complete these forms and then tally the results, or designate a representative group to work together to complete them. These tools are meant to be used as a catalyst for discussion, so there is no formal scoring process. However, the greater the number of factors that are checked, the more likely it is that your facility is ready to embark on strategic planning. If you have already begun your planning process, then these forms can serve as diagnostic tools for pinpointing areas of concern to be addressed as your change process evolves. You may also want to administer the *Organizational Culture Inventory*® (OCI) to a random sample of the staff to obtain a structured look at the facility's culture (appendix D provides guidelines; see also the sidebar "Using the *Organizational Culture Inventory*®" in chapter 8, page 112).

Look at Your Resources

Taking inventory of the resources you are prepared to dedicate to the process is an important aspect of assessing your facility's readiness for strategic planning. Your inventory might include the following:

- Central office support (time, expertise, funding).
- Management and staff time, skills, knowledge, creativity, and commitment.
- Staff person(s) assigned to manage the strategic planning process.
- Stakeholder involvement where it is needed.
- Collaboration and teamwork skills.
- Funding dedicated to strategic planning (for things such as refreshments at meetings, making staff available to attend team meetings, maintaining communications about the work, publishing reports and other documents).

Formal leaders:
Those who have authority because of their position.

Informal leaders:
Those who have influence because of who they are and who and what they know.

- Relevant and accessible information.
- Data you can access to help you identify areas that need to be addressed, monitor your progress, and evaluate the planning process and implementation of your strategic plan.
- Statutes and administrative policies.
- Technical assistance from NIC or other federal and state sources.

Hold an Introductory Meeting

Before you attempt to engage the entire facility in examining its culture and in strategic planning using the Cube® model, bring together the formal and informal leadership of the facility (preferably no more than 30 people) to introduce the model and garner support for it. The group might include the warden/administrator, deputy wardens/administrators, additional formal leaders, informal leaders, union leaders, and a representative sample of staff from all departments in the facility. The participants in this meeting should represent as much diversity in job responsibility, shift, gender, department, rank, age, race, length of service, and employment status (labor/management) as possible. This cross-section can become the “yeast” in the process. If they fully understand the planning work and its value and grow committed to the process, they can influence others to join in the work and help sustain it.

Allow 2–3 hours for this meeting. Hand out copies of this guide (or sections of it) either before or during the meeting and encourage participants to read it and raise questions and concerns. You also may want to involve representatives from the regional or central office in this introductory meeting to keep them informed and gain their support for your work.

Because the model is based on a team approach, the agenda at the introductory meeting should include discussion of the role of the teams and team facilitators (see “Key Personnel,” page 77). If the consensus is to go forward with planning, you can select the team facilitators during this meeting or ask for volunteers. However, it is preferable for each team to choose its own facilitator when the teams are formed, which is the first day of the kickoff meeting. Additional considerations in choosing team facilitators are discussed in the sidebar on page 75.

Potential Challenges You Might Face

Challenges to the work of strategic planning come in many forms. If you know the potential challenges, you can plan for them, prevent some of them, and determine effective strategies to deal with others. The most common challenges include the organizational “learning disabilities” discussed in chapter 4 (see page 45) and the following issues involving support and stakeholders, leadership, trust, staff involvement, and time and attention:

Choosing Team Facilitators

When considering who might serve as team facilitators, avoid turning automatically to the people you usually look to, because strategic planning provides an opportunity for new leadership to emerge. What is more, the people you usually turn to may not have the skills, knowledge, or abilities to fulfill the responsibilities of this role. (The responsibilities of the team facilitators are discussed later in this chapter; see page 79.)

Your decision whether to designate team facilitators or have them chosen democratically by their teams may depend on how flexible your staff scheduling is. Team facilitators must be able to attend a half day of training on the day following the 2-day kickoff meeting (see stage 3 below). If the teams choose their own facilitators on day 1 of the kickoff meeting, you must be able to arrange for those chosen to attend the training session 2 days later. If staff schedules cannot be rearranged on such short notice, then administrators or the people who attend the introductory meeting will need to select team facilitators in advance of the kickoff meeting.

If you must have the administrators choose the team facilitators, you might consider allowing the teams to select cofacilitators later on. The original facilitator, who has gone through the half-day training session that follows the kickoff meeting, could then explain the process and the responsibilities of the position to the new cofacilitator.

Issues of support and stakeholders:

- The central office may not support your undertaking of the strategic planning work.
- The facility's formal or informal leaders may not support the process.
- External stakeholders may pull on your time and energy.
- Political leaders may have agendas that compete with yours, putting your facility in the middle.
- Taxpayers may not understand your work and its contribution to their communities.
- The media may focus on negative stories.

Issues of leadership:

- The facility may not have the internal expertise to manage the process.
- Leaders (both formal and informal) may not have the skills to lead the process effectively.
- Leaders (both formal and informal) involved in the process may leave the facility, and those who follow may not be committed to the work.

What do you (individually and as a group) hope will result from this planning process?

Issues of trust:

- Staff members' concern about taking risks may be stronger than their desire to see change, even if it is likely to be for the better.
- The level of trust among staff and between management and staff may be low, whereas suspicion and skepticism may be high.
- Staff may have been "burned" in previous similar work.
- People may not believe they can make a difference.

Issues of staff involvement:

- Some people may intentionally sabotage your effort, especially if they are threatened or challenged by potential change.
- Some people may be reluctant to participate, for a number of reasons.
- Some people may choose to wait out the process, hoping leadership will forget about it or give up on it.
- Some people may do the work, but only on a superficial level, thereby blocking more comprehensive strategic planning and culture examination.
- Staff may begin the work then lose their momentum and commitment to continue the process.
- Conflict within or among unions or between unions and management may occur.

Issues of time and attention:

- Scheduling team meetings to accomplish the work may be difficult, especially where there are budget constraints.
- The quick fixes you initiate may not be enough to bolster commitment to and patience with the overall process.
- Crises may draw the attention of leaders and staff away from long-term issues.

You may encounter these and many other challenges and constraints throughout the planning process. Everyone involved in the process will have to work hard to maintain the facility's commitment to strategic planning in the face of difficulties and perhaps even direct opposition. The press of everyday events can distract you from the long-term vision, sometimes without your being aware of that happening. Carefully consider which challenges to strategic planning you are likely to face and then plan for them so they do not derail your work.

Stage 2: Lay the Groundwork

The steps in stage 2 of the planning process are as follows:

- Designate a process manager. If you did not designate team facilitators during your introductory meeting, consider who might serve as team facilitators.
- Decide how you will coordinate the information generated by the teams and determine who will be the coordinator.
- Establish the framework of a communications plan.
- Designate a strategic planning center (a place where information is kept and coordinated) in the facility.
- Meet with staff on each shift to inform them about the strategic planning process and introduce the Cube® model (consider using a PowerPoint presentation).
- Send a followup letter to all staff informing them about the planning process.
- Collect baseline data to determine the current reality and to identify the aspects of the facility you will monitor and use to measure success.

Key Personnel

Two roles are critical to the success of your strategic planning process: **process manager** and **team facilitator**. The responsibilities of each role and the qualities needed to fulfill them are outlined below.

Process Manager

Before the formal work begins, identify someone on staff to serve as the process manager. This role is pivotal. The process manager oversees the organization and logistics of the strategic planning process. He/she is responsible for keeping track of meetings and documents, coordinating the teams' work, ensuring ongoing communications, and keeping the warden/administrator fully and continuously apprised of the progress of the work. Accordingly, the process manager should have easy access to the warden/administrator and should attend all team and team facilitator meetings. The specific duties and responsibilities of the process manager are as follows¹:

Enables teams to do their work:

- Adjusts team members' schedules, working with supervisors as needed, to enable them to attend meetings.
- Coordinates times and locations for meeting space.

¹Thanks to John Schrader of the Westville Correctional Facility in Indiana for compiling this list, which is based on Westville's experience in the pilot test.

The paperwork coordinator must be well-organized, located in an office that is easily accessible, and personable.

- Monitors the teams' progress and encourages their efforts.
- Removes barriers through collaboration.
- Encourages the use of the strategic planning tools provided in this guide.
- Researches new and emerging strategic planning concepts from other disciplines.

Coordinates team facilitators' work:

- Makes facilitators aware of convergence/divergence of team efforts.
- Clarifies sequencing of team efforts when necessary.
- Facilitates regular meetings of team facilitators.
- Ensures balanced representation among members within and between teams.
- Arranges a central location for the team's work products.
- Develops communications systems among teams for sharing information and ideas.

Reports to warden/administrator:

- Provides updates on routine progress and emerging challenges.
- Acts as a sounding board for the warden/administrator's ideas.
- Uses the warden/administrator's authority as needed.
- Monitors the alignment of strategic planning efforts with the warden/administrator's vision.
- Promotes recognition and celebration of the teams' successes.

Coordinates teams' work products:

- Designates and works closely with a staff member who will coordinate information generated by all teams (e.g., team minutes, minutes of facilitators' meetings) and other paperwork (e.g., materials to be sent to an external facilitator, if you are working with one). The **paperwork coordinator** must be well-organized, located in an office that is easily accessible (to allow easy access to files and minutes), and personable (because it can be challenging work).
- Facilitates the work of the group that drafts the written plan.
- Ensures all stakeholders have opportunities to review the plan and offer their input.
- Manages the process without directing it.
- Ensures the teams use a consistent style in preparing submissions for the draft plan.
- Ensures the draft plan is understandable to all stakeholders.

Team Facilitator

The role of team facilitator is critical to the success of the strategic planning process. Like the process manager, the facilitator must be familiar with this guide, especially the checklists and other tools, and with other resources that may help the team. The specific duties and responsibilities of a team facilitator are as follows:

Ensures the work is organized:

- Uses the information in this guide to help plan for and organize team and team facilitators' meetings.
- Encourages team members to become familiar with the guide, especially the questions and possible work outputs for each of the teams and the tools available in the guide that can help them with their work.
- Works with the team to develop a meeting schedule.
- Finalizes team meeting agendas.
- Arranges for minutes to be taken at each meeting and sent to the team, the process manager, and, perhaps, other team facilitators.
- Works with team members to get the resources they need to accomplish their work.
- Coordinates with other team facilitators.

Keeps team meetings effective:

- Works with team members to establish ground rules that guide the way team members work together.
- Keeps the team focused on the work to be accomplished.
- Helps team members move discussions from problems they identify to an exploration of the possible causes of those problems, in order to get to the strategic issues.
- Is aware of the dynamics of the team.
- Deals effectively with conflicts among team members if they arise.
- Always keeps the end in mind, keeps the pieces tied together, and helps team members do the same.

Fosters leadership in team members:

- Encourages all team members to participate in conversations.
- Does not dominate discussions.
- Provides for the rotation of the role of facilitator, to give others an opportunity to develop facilitation skills.
- Is a part of the team rather than apart from the team.

There are people in your facility who have or can develop the skills and qualities needed to serve as process manager and team facilitators. The opportunity to facilitate the process offers them a chance to demonstrate newly valued skills.

Criteria for the Process Manager and Team Facilitators

The roles of the process manager and team facilitators are different, but the qualities that lead to success in these two roles are the same. A person who will function well in either role:

- Is familiar with strategic planning concepts and language or is a fast learner.
- Values the planning process.
- Understands the Rubik's Cube® Models of Strategic Planning and Management.
- Can see pieces as well as a whole and how the pieces fit together.
- Can handle some chaos and make order of it when necessary.
- Is a good communicator (listens well, speaks clearly, clarifies goals and concepts, and is able to help organize the work).
- Is able to hear and accept many diverse ideas and to promote listening skills in diverse groups.
- Understands the difference between facilitating and dominating a meeting (e.g., will attempt to involve team members by asking questions and will seek to ensure the participation of all).
- Is focused yet not rigid, able to clearly communicate the task at hand and keep the group's comments relevant to the work.
- Is able to manage meetings well and bring out the best in the participants.
- Is respected and able to establish credibility with the team.
- Is "safe" (i.e., respects confidentiality, respects different points of view, accepts and does not ridicule).
- Is able to resolve conflicts with honesty and integrity to build collaboration and trust.
- Has a sense of humor.
- Is trustworthy and dependable.
- Completes tasks in a timely manner.
- Likes a challenge.
- Encourages and coaches.
- Is willing to challenge.
- Is not wedded to the status quo and does not have his/her own agenda for the outcomes of the planning process.
- Is structured and organized, yet open to change.

Qualities and Skills Necessary for Process Managers

In addition to the characteristics and skills listed under “Criteria for the Process Manager and Team Facilitators,” the process manager should possess the following qualities and skills:

- Knowledge of and ability to use the facility’s existing systems.
- Integrity and credibility with stakeholders.
- Creativity in promoting risk taking.
- Desire to receive and incorporate feedback regarding role as process manager.
- Awareness of institutional cultural issues.
- Ability to dedicate about half a workday per week to the process.
- Ability to reflect others’ thoughts in a nonjudgmental manner.
- Access to highly skilled administrative support staff.

Thanks to John Schrader of the Westville Correctional Facility in Indiana for compiling this list, based on Westville’s experience in the pilot test.

Communications

The way facility leaders communicate about the planning process—specifically, what it involves and why it is important in improving quality of life in the facility for staff and offenders—will influence your outcomes and the value of the process itself. People like to hear directly from their leaders when change is in the works. The importance of staff seeing that facility leaders, both formal and informal, support and value the process cannot be emphasized enough. Staff want to know what is happening and why and what the changes might mean to them. They also want to know that management recognizes their past accomplishments and will celebrate their future successes. In the absence of open and timely communication, rumors and subculture agendas can easily take over. Staff will fill the vacuum with what fits their perceptions of how the facility is run, how leadership works, and how decisions are made. Consequently, they may grow skeptical of the planning process and withdraw from or sabotage it. Those who feel they have the most to lose if things change may work actively to block the process.

Holding meetings at this stage with all staff on each shift in every department is a good way to stop rumors before they start and demonstrate to staff that you value their participation and input. Use these meetings to introduce the Cube® model, begin engaging staff in a new way of thinking,

Chapter 7, “Managing Facility Communications,” discusses a variety of other strategies to reduce the power of rumors and encourage staff to see the value of the process and of their input.

and suggest that change may come. Ask for the names of those who would like to participate on a planning team. After the meetings, follow up with an informational letter to all staff. Chapter 7, “Managing Facility Communications,” discusses a variety of other strategies to reduce the power of rumors and encourage staff to see the value of the process and of their input.

Good communications are also essential to the functioning of the teams. Coordinating the work of the teams so that the efforts of each team inform the work of the others and all the pieces of work mesh together is an important aspect of the Cube® model. Two primary strategies are developing a communications plan and establishing a strategic planning center. These strategies are discussed below.

Develop a Communications Plan

To facilitate regular communication among the teams and between the teams and the facility, the process manager and facility leadership should develop the framework of a communications plan that provides mechanisms for facilitywide written and verbal communication. After the teams are created, the process manager should seek their input to the communications plan.

What To Address in Your Communications Plan

In developing your communications plan, consider the following issues:

- Who will be responsible for coordinating communications (e.g., process manager or paperwork coordinator) among teams and with staff.
- Which team members will be responsible for communicating about the work of their teams.
- What communications methods will be used—e.g., electronic communications (possibly an Intranet with discussion boards and sites for each team), newsletters, memos, training, workshops, focus groups, department meetings, and “town meetings.”
- When each method of communication will be used.
- What kinds of information should be shared and with whom.
- How to integrate offenders’ communications networks within the facility and outside of it (e.g., with family members) to build momentum and support for changes that will improve their quality of life.
- How the facility can share and celebrate successes.
- How, what, and when to communicate with external stakeholders.

The “Communications Assessment” found in appendix B can be administered to a sample of staff as an aid to developing your communications plan. Having the same group of people complete this assessment at intervals throughout the planning process and afterward may help you determine whether communication is improving and people are getting the information they need.

Establish a Strategic Planning Center

Establishing a strategic planning center will foster the kind of facilitywide communication essential to the success of the planning process. The purpose of such a center is to build understanding of the work and facilitate the giving and getting of feedback. The strategic planning center is a place where:

- Information such as the minutes of team meetings and interim products of planning (see “Pulling the Pieces Together,” page 99, and “Looking at What You Create,” page 116) can be collected and made available to all staff.
- All teams can share information and seek answers to their questions.
- Staff can share what they have learned and their successes.

Accordingly, the location of the center should be easily accessible. It might be the office of the process manager or the paperwork coordinator. You also might create an Intranet site to serve this purpose. An Intranet site can also be an effective adjunct to a physically located strategic planning center.

Baseline Data: Looking at Your Current Reality

As you begin planning strategically for the future of your facility, it is important to learn all you can about where you stand now. An honest, comprehensive assessment of your facility’s strengths and weaknesses and of the challenges and opportunities you currently face will help everyone in the facility develop a clear understanding of your organization and the contexts within which it operates. Taking stock of your current reality will enable you to define the critical issues that will be the focus of your strategic planning efforts. Some of the problems you uncover may have easy solutions. However, resolving more complex or deep-seated issues will require concerted effort over a longer period of time. By gathering baseline information at the start of your planning process, you will be in a better position to track your progress, celebrate successes, and modify your approach if the results you anticipate are not forthcoming.

Detailed guidelines on collecting baseline data are provided in chapter 8, “Measuring Your Work.” The National Institute of Corrections’ (NIC’s) course “Promoting a Positive Corrections Culture” can also help your facility assess its current culture and set the direction for potential culture change. To arrange for this course to be conducted, contact NIC at 800-995-6423 or visit the NIC Web site, www.nicic.org.

Detailed guidelines on collecting baseline data are provided in chapter 8, “Measuring Your Work.”

Strategic Thinking in Action

With the End in Mind

In the fall of 2003, the Pennsylvania Department of Corrections (DOC) decided to develop strategic plans in the critical areas of offender assessment, treatment, and reentry. This initiative was precipitated by heightened national attention to the preparation of offenders for community reintegration. The Pennsylvania DOC took the time to reflect on its mission, which resulted in the adoption of the following new mission statement: "Our mission is to protect the public by confining persons committed to our custody in safe, secure facilities, and to provide opportunities for offenders to acquire the skills and values necessary to become productive, law-abiding citizens while respecting the rights of crime victims."

More than 90 percent of the offenders who enter the Pennsylvania DOC will eventually be released to the community. Everything a corrections system does from the moment that an offender enters the front door should be viewed as an opportunity to prepare the offender for community living. With this in mind, Secretary Jeffrey A. Beard established three separate teams to look at offender assessment, treatment, and reentry, respectively. Each team had about seven members drawn from both central office and facility staff, and one member of each team was a deputy secretary. The entire strategic planning initiative was co-chaired by the director of Planning, Research, Statistics and Grants and the director of Offender Services.

The teams were convened for a 2-day session in November. The planning process began with a review of what was to be accomplished—namely, delivery of a combined strategic plan to Secretary Beard by the following February. Central office staff then presented an overview of the "Principles of Effective Intervention" and also reported on the current status of the department in the three areas under consideration. The teams were given guidance on the elements that should be included in a final product. Following the morning plenary session, each team convened separately.

Each team had co-chairs and a facilitator brought in from another state agency and received a series of questions to help guide its work. Although the teams made significant progress on their tasks, they still knew a great deal of work remained to be done, and most broke into subcommittees that were assigned homework. After these individual team meetings, the three teams came back together as a large group and reported on the progress they had made and the work that remained to be done.

The teams were reconvened for a 1-day session in December. By the end of that session, the assessment and reentry teams had finished their work, but the treatment team met several more times. The co-chairs of each team were

Strategic Thinking in Action

responsible for putting together a written report reflecting the work of their team. They submitted these reports to the director of Planning, Research, Statistics and Grants, who was assigned to compile a draft report from the work of the three teams for submission to Secretary Beard.

When the draft was assembled, it was sent via e-mail to all members of each team for their review and comment. Changes were made, and the draft was delivered to Secretary Beard by the established deadline. After the secretary reviewed the draft, it was revised again in response to his comments and suggestions. The contents of the final report are as follows:

- Background information about the work, including methodology.
- Action items and the key considerations and constraints related to each item.
- Analysis of relevant data.
- The primary options for each action item and the advantages and disadvantages of each option.
- Recommendations, including the rationale for each recommendation and a discussion of how to carry it out.
- A “Skills Development Plan” to ensure staff capacity to do the work successfully.

The strategic plan, which now guides the Pennsylvania DOC’s efforts in preparing offenders for their eventual return to the community, will be revisited and updated regularly.

What is the purpose of this example? The Pennsylvania DOC learned several important lessons: First, make sure a planning process is collaborative and includes central office as well as facility staff. Second, make sure that someone is ultimately in charge of the process; otherwise it can go awry rather quickly. Third, give clear direction to the teams on what you want to accomplish or, as Steven Covey (1990) states, “Begin with the end in mind.” Fourth, hire a trained facilitator to help manage the work of the teams. Fifth, remember that the plan is a living, breathing document and will never be truly finished. Finally, remember to have fun in the process.

Thanks to Kathy Gnall, Director of Planning, Research, Statistics and Grants, Pennsylvania Department of Corrections, for sharing this example. Ms. Gnall was responsible for putting together the final document presented to Secretary Beard.

Stage 3: Plan and Hold the Kickoff Meeting

The steps in stage 3 of the planning process are as follows:

- Identify who should attend the kickoff meeting and arrange for their positions to be covered while they are at the meeting.
- Determine a launch date and how to celebrate it.
- Develop the agenda for the meeting.
- Determine when and where the meeting will be held and arrange for the meeting space, equipment and materials, and refreshments.
- Send a notice about the kickoff meeting to the staff chosen to participate in the process. Include the agenda for the meeting.
- Plan the team facilitator's training session (day 3 of the meeting).
- Conduct the kickoff meeting, including the facilitator training.

The actual planning work begins with a kickoff meeting that brings together a representative group of 25–30 people, including the process manager, paperwork coordinator, warden/administrator, other managers and supervisors, union leaders, and the staff you have chosen to serve on the planning teams. The National Institute of Corrections (NIC) recommends using an NIC-trained facilitator for this meeting. The meeting requires 2 days (12–16 hours), so arrange for coverage for staff who are participating (see sidebar, “Make Staff Coverage a Priority,” below).

There is no set number of team members. However, the composition of your six planning teams should be as heterogeneous as possible, representing all departments, shifts, and personnel levels with diversity in age, race, gender, experience, years of service, leadership skills, learning styles, and

Make Staff Coverage a Priority

Team meetings are the engine that drives the Cube® model of strategic planning, so affording staff the time to meet is critical to the success of your planning process. Relieving team members so they can attend meetings can be cumbersome and expensive, and these issues have the potential to become more problematic as the process moves along at what some will see as a slow pace. Teams will need infusions of energy from new members, continued support from facility leadership, and time together to maintain their momentum and patience for the work. If the warden/administrator and senior managers are committed to the planning process, they must clearly notify supervisors that arranging backup coverage for team members so that they can attend meetings is a priority. Do not sabotage your strategic planning initiative by letting “we don't have time” become the reason your teams cannot accomplish their work.

level of engagement in the facility. The teams should be large enough to achieve diversity in all these areas, but small enough to be manageable (especially with regard to making people available to attend meetings). Between 10 and 15 people on each team is optimal.

Be sure to include the people you know have influence. Your facility's "connectors," "mavens," and "salespeople" should be represented on your teams (see "Building Commitment to the Planning Process" in chapter 3, page 35). You should also consider including a few skeptics, with the idea that if you can persuade them that this is an opportunity for improved operations and working relationships, they might participate and bring others of like mind along. By building an inclusive process, you will get the best thinking from the diversity in your facility, engender greater commitment to the process and outcomes, and move your facility toward becoming a "learning organization."

Agenda

The purpose of the kickoff meeting is to formally launch your strategic planning process. Facility (and perhaps agency-level) administrators can get the meeting off to a positive start by expressing their support and enthusiasm for the process. The agenda for the meeting should accomplish the following:

- Explain the purpose of the meeting and the importance of strategic planning and exploration of the facility's culture.
- Ask people to introduce themselves.
- Explain how participants were chosen. (Include in your explanation the importance of diversity to the change process.)
- Introduce significant baseline data gathered in stage 2 of the process (see "Baseline Data: Looking at Your Current Reality," page 83, and "Collecting Baseline Data" in chapter 8, page 110) that show key indicators for the facility (i.e., the aspects you will want to monitor as the work progresses). Focus on the primary type of culture that existed at the time of the assessment and the primary type of culture the respondents indicated they would like the facility to have.
- Administer and process the *Organizational Culture Inventory*®. If you administered the OCI to a random sample of staff as part of your assessment of your facility's readiness for strategic planning or in collecting baseline data, provide those results as well.
- Define strategic planning, strategic management, and strategic response in the context of your facility.
- Introduce the Cube® Model of Strategic Planning. (Refer participants to chapter 5 of this guide. If all participants do not have a copy of the guide, distribute photocopies of chapter 5 as handouts.)
 - Briefly explain that the model was designed specifically for correctional facilities under the sponsorship of NIC.

By building an inclusive process, you will get the best thinking from the diversity in your facility, engender greater commitment to the process and outcomes, and move your facility toward becoming a "learning organization."

- Explain how the model works.
- Emphasize the need for collaboration and involvement.
- Designate or ask for volunteers for the teams for each side of the Cube[®]. If team facilitators were chosen during the introductory meeting (see stage 1, page 72), introduce them before the teams are formed.
- Discuss how to handle the strategic thinking questions at the core of the Cube[®] model. For several options, see “Begin With the Core Questions,” page 93.
- Ask the newly formed teams to meet to:
 - Discuss the criteria they think are important for leadership roles and then choose a facilitator (if facilitators have not already been designated).
 - Identify several possible dates, times, and locations for their first meeting. (Explain that the team facilitators and process manager will meet as a group following the kickoff meeting and will finalize the dates of each team’s first meeting at that time.)
 - Establish an agenda for their first meeting. (See the guidelines under “First Team Meeting,” page 95.)
 - Identify work that may need to be accomplished or materials to be reviewed prior to the meeting (e.g., reading the manual in greater depth, recruiting additional team members, deciding which parts of the manual they would like potential team members to read, and photocopying those sections).
 - Identify other staff who might join their team.
 - Identify the need for coverage where necessary.
 - Be prepared to report back to the whole group on team discussions and the decisions reached.
- Have the teams share the results of their individual meetings with the whole group.
- Discuss preliminary plans for facilitywide communication about the planning work:
 - The importance of facilitywide communication.
 - How and when to communicate.
 - How to get input from personnel throughout the facility.
 - How to provide personnel with information that comes from team meetings.
- Discuss communication/coordination among teams.
- Discuss how to keep the work moving while maintaining flexibility throughout the process.

- Brainstorm next steps.
- Summarize the meeting and announce the time of the training being held the next day for the warden/administrator, team facilitators, and process manager.

Because the process manager and team facilitators are so critical to the planning process, a half-day training session has been designed for them, to take place on the day following the kickoff meeting (see the agenda for day 3 in appendix E). This training session is intended to help the process manager and team facilitators learn about their roles and begin collaborating with each other. It provides an opportunity for these key personnel to ask questions, address concerns, and explore the planning process in some detail and thereby helps the work get off to a good start. During this session, the warden/administrator, team facilitators, and process manager should set the date and time of their first coordination meeting. Note that this meeting should take place before any of the teams holds its first meeting.

Logistics

To help ensure that the kickoff meeting progresses smoothly, check to be sure you have all the materials and equipment you will need (see sidebar “Practical Considerations for Planning Meetings,” page 90). First, be sure your meeting room is large enough to allow participants to sit at tables (perhaps in groups of six), move around, and be comfortable. If administering the OCI at the kickoff meeting, order your copies sufficiently in advance to ensure you receive them in time.² If you decide to administer the OCI to staff who will not participate in the meeting, factor in enough advance time to allow for administering and scoring their survey responses before the meeting, so that you can share them with the group during the session.

Obtain copies of this guide for all participants in the meeting. The process manager, paperwork coordinator, team facilitators (if you have already designated them), and warden/administrator should read the guide before the meeting and be familiar with the material. Finally, consider purchasing a Rubik’s Cube® for the kickoff meeting to illustrate the concepts underlying the Cube® models. You might also consider purchasing small, key-chain-sized Cubes® for the process manager, team facilitators, and team members.³

²The *Organizational Culture Inventory*® and supporting materials are described online at www.humansynergistics.com and can be purchased from Human Synergistics® International.

³Rubik’s Cubes® can be purchased at toy stores and online at www.rubiks.com.



An example of a formal agenda for the kickoff meeting is presented in appendix E.

Practical Considerations for Planning Meetings

Much of the work of the Cube® Model of Strategic Planning is accomplished in meetings. Attention to the following considerations will help ensure your meetings progress smoothly:

- In selecting a location for the meeting, consider whether it will be better to work in the facility or away from it. (NIC recommends holding your meeting off site.)
- Ensure that meeting rooms are conducive to conversation.
- Determine how to provide coverage for people who attend meetings.
- Arrange for food and beverages to be provided, as appropriate.
- Ensure there is good working space and that tables and chairs can be arranged to fit the needs of the work.
- Make the agenda available to all participants before the meeting.
- Provide materials and equipment for meeting rooms, which might include the following:
 - Overhead projector.
 - Equipment for a PowerPoint presentation.
 - A screen.
 - Easels and easel paper.
 - Pens and/or pencils.
 - Markers and masking tape.
 - Name tags.

Stage 4: Hold Team Meetings

The steps in stage 4 of the planning process are as follows:

- Hold a kickoff meeting for the team facilitators and process manager before the teams meet for the first time.
- Conduct team meetings (perhaps once every 2 weeks, at least at the start).
- Conduct coordination meetings of the team facilitators, process manager, and facility leadership regularly, with the first one soon after the kickoff meeting and prior to any team meetings.
- Establish timeframes for your work.

- Conduct focus groups and interviews and administer surveys to get information about your current reality, monitor your work, check staff perceptions about the work and the changes being made, and keep track of how teams are functioning. (This guide includes checklists and other tools you can use. See chapter 8, “Measuring Your Work,” and appendix B, “Data-Gathering Tools.”)
- Conduct meetings and, possibly, trainings with middle managers.
- Conduct staff training if you determine that is necessary. (Some of the areas in which training can help both staff and managers develop skills that will enable them to engage in the strategic planning process with confidence are leadership development, conflict management and resolution, communication skills, and building collaboration.)
- Produce interim planning documents.
- Host celebrations when you achieve significant successes—for example, when a change in policies or processes yields positive results or, certainly, when you produce an interim or final written product.

The “nuts-and-bolts” work of the Cube® Model of Strategic Planning is accomplished by teams. As explained in chapter 5, each team works with a set of questions representing one side of the Cube® and, possibly, with the core questions. This framework allows each team to focus its attention on a specific part of the planning work. The teams may want to identify themselves by the color of the side on which they will be working.

The composition of the teams can be fluid. Over the course of the planning process, some members might decide to leave a team and other staff might want to become involved in the process. Staff might want to observe a meeting without becoming a fully participating team member. Publicizing the time and place of meetings will facilitate this kind of involvement. Allow enough advance notice so staff can arrange to be released from their work without disrupting facility operations.

No team should work in a vacuum. Please remember one of the primary characteristics of Rubik’s Cube®: the six sides are distinct but form an interdependent whole. In the Rubik’s Cube® Model of Strategic Planning, the six aspects of strategic planning are likewise interdependent, as are the six aspects of organizational culture (see page 92). Each one has an impact on the others. Although the teams will work separately, the work of each team overlaps that of others—to the point that some of the questions are redundant—to help ensure cross-thinking and encourage ongoing communication among the teams. This is why coordination meetings are recommended (see pages 94 and 98).

Nor is the work intended solely for team members. At various points in the planning process, it will be necessary to move the work beyond the teams and even beyond the team coordination meetings. For example, as one team begins to look at the facility’s culture, they will need to stimulate conversation throughout the facility to get points of view other than their own.

If the composition of a team is changing, try to ensure that the team maintains as much diversity as possible with regard to its representation of departments, shifts, personnel levels, age, race, gender, experience, years of service, leadership skills, learning styles, and level of engagement in the facility.

The work is not intended solely for team members. Every team's work needs to include input from the rest of the staff and from other stakeholders.

Six Parts That Comprise an Interdependent Whole

The Cube® models associate six aspects of organizational culture and six aspects of strategic planning with the six sides of Rubik's Cube®. Like the sides of the Cube®, these aspects are interdependent, in that a change in one aspect affects all the others.

Six Aspects of Organizational Culture

- Leadership styles.
- Management styles.
- History of the facility.
- Interpersonal relationships.
- Environment outside the facility.
- Perceptions of stakeholders.

Six Aspects of Strategic Planning

- Setting the stage.
- Identifying strategic issues.
- Charting the future.
- Crafting strategies.
- Bringing strategies to life.
- Sustaining change.

Perhaps they will want to use a culture assessment inventory such as the OCI. They may choose to develop a staff survey according to the facility's existing protocols. They may want to talk with other internal stakeholders—staff, the facilitators of other teams, and, if reasonable, offenders—and also with external stakeholders such as service providers, legislators, victims' rights advocates, and offender family members. Every team's work needs to include input from the rest of the staff and, where possible, from external stakeholders and the offender population. The Cube® model is intended to be an inclusive process.

Timeframes

Establishing a timeframe for each team and for the process overall will help give your work a sense of coordination, collaboration, and order. The facility leadership, process manager, and team facilitators (with input from their teams) should consider the following aspects of the planning work and agree on timeframes for each:

- When teams will meet.
- When representatives of all teams will meet together to discuss their work.
- When staff will have input to the teams' work.
- When the work might be completed.

Each team should examine the list of possible outputs included with its set of questions early in the process and establish a timeframe for completing its work. A timeline chart that can help you order the tasks to be accomplished is provided in appendix C, "Planning Tools."

Note that planning process timeframes will vary from facility to facility. The teams in the pilot test met over a period of 9 months, in part because everyone was learning as the process unfolded. Teams can probably complete their work in 6–7 months (or less, if they meet frequently and for concentrated periods of time). At the pilot test site, the group responsible for drafting the strategic plan after the teams completed their work finished the first draft in 2 days, circulated the draft to staff for comments, and met again for 2 days to finalize the plan.

Coordinating the Teams' Work

Team facilitators (some teams might have cofacilitators) and the process manager should meet regularly as a team to share their work, keep the pieces together, be aware of overlaps in their work, and promote the team concept. Guidelines for team coordination meetings are included in the next section. In addition to meeting regularly, team facilitators and/or members of their teams can stay connected to the other teams through sharing minutes, telephone or e-mail contact, and, as time permits, attending each other's meetings.

Begin With the Core Questions

In addition to the six sets of questions corresponding to the six aspects of strategic planning represented by the six sides of Rubik's Cube®, the Cube® model includes a set of questions that addresses strategic thinking. Strategic thinking is to strategic planning as the interior mechanism at the core of Rubik's Cube® is to this three-dimensional puzzle: the element that makes it work. Strategic thinking is needed for every aspect of planning. Accordingly, the work of the Cube® model of strategic planning begins with answering a core set of questions to help you clarify what strategic thinking means in your facility, how it can be encouraged, and the impact it will have on how the facility works.

Chapter 5 describes several options for working with the core questions. If you decide that the team facilitators and process manager should answer these questions, schedule a meeting to begin that work shortly after the training session. If you decide to have the teams work with the core

You can begin to implement changes while the work proceeds. Making small changes that the staff will see as positive early in the process—“picking the low-hanging fruit”—will build momentum and enthusiasm for the work.

questions, establish a timeframe for completing the work and then call representatives of each team together for a conversation about their responses and the changes they recommend for quick implementation. In that way, the learning will be shared among teams. You can begin to implement changes while the work proceeds. Making small changes that the staff will see as positive early in the process—“picking the low-hanging fruit”—will build momentum and enthusiasm for the work.

Guidelines for Meetings

The following guidelines are suggestions based on the experience of the pilot test site rather than hard-and-fast rules. Use them to implement the process in the way that will be most effective for your facility.

First Coordination Meeting

The team facilitators and process manager should meet to discuss logistical issues before any of the teams meets for the first time. The warden/administrator might also choose to attend this meeting. Allow 4 to 6 hours for the meeting (or less, if some of this work was accomplished at the half-day meeting that followed the kickoff meeting) so that you can accomplish the following:

- Review the guide in depth, with special attention to the material on implementation.
- Discuss the role and responsibilities of the process manager and team facilitators (see “Key Personnel,” pages 77–81).
- Discuss factors that will help facilitators and teams succeed.
- Discuss factors that might make the work difficult and how best to deal with them.
- Decide how to handle scheduling issues with regard to team members’ ability to attend meetings. This is critical if you want broad staff involvement.
- Discuss the framework of the communications plan developed by the process manager and facility leaders in stage 2 of the implementation process and decide whether any modifications for coordinating the teams’ work and facilitywide communications are needed (see chapter 7, “Managing Facility Communications”).
- Discuss how facilitators can best work with the process manager, who has overall responsibility for the planning process and coordinating information (including meeting agendas and minutes) among team facilitators.
- Estimate the resources each team will need for its meetings and decide how best to obtain them.

- Emphasize the need for meeting agendas, which should be available before meetings and preferably developed with input from team members, and for minutes of team meetings that can be shared with all team facilitators.
- Discuss how to inform staff about team meetings so that others might attend, even if they are not on a team.
- Discuss the need for diversity on every team (length of service, job responsibilities, age, gender, race, attitudes, department, rank, employment status).
- Determine a format teams might use to write responses to their questions. Establishing a form for use by all the teams will assist the group that drafts the plan in compiling the responses. (Appendix C includes a form you might use for this purpose, “Summary of Responses to Our Team’s Questions.”)

First Team Meeting

This is an introductory meeting that generally requires 1–2 hours. At this meeting, give a copy of this guide to any team member who does not yet have one. All team members should read the guide (or sections that are most important for them to read) before the next meeting. Alternatively, the team might decide to assign each member a different part of the guide to read and then summarize for the team at the next meeting. Other agenda items for the first team meeting are as follows:

- Discuss and establish the team’s ground rules for its own work and its work with other teams.
- Discuss the topic of additional members and how to recruit them, with an eye toward including as many points of view, parts of the facility, and shifts as possible.
- Decide the date and time for the next meeting (within 2 weeks is recommended).

Second Team Meeting

This meeting sets the stage for each team’s working relationships and ongoing dialogs, so it must be well planned and carefully executed. The team facilitator prepares the agenda, with a focus on getting acquainted and discussing how the team might function. At the meeting, which generally lasts about 2 hours, the team members should accomplish the following:

- Decide who will keep records of each meeting (e.g., minutes, responses to Cube® questions), how these records will be distributed, and to whom.
- Determine how best to accomplish the work related to their side of the Cube® and how to connect with the other teams other than through team facilitators (e.g., one person from each team might observe another

The lists of possible work outputs identified for each team in chapter 5 can help the teams focus their work.

team's meeting, or one person from each team might volunteer to work with someone from another team, sharing information each can bring back to his/her own team).

- Develop ways to maintain ongoing communication with personnel throughout the facility, consistent with the overall communications plan the team facilitators and process manager established at their first coordination meeting.
- Discuss how the team will know it is succeeding.
- Set the date and duration of the next meeting.

More than one meeting may be needed for team members to begin working together and trusting each other, especially if this is the first time such a heterogeneous group has come together in the facility for a common purpose. The lists of possible work outputs identified for each team in chapter 5 can help the teams focus their work.

A significant part of the teams' work will involve gathering and assembling the data necessary to assess the facility's current reality, establish goals, and determine whether those goals are achieved. Chapter 8, "Measuring Your Work," which provides guidance on deciding what to measure and discusses different measurement methods, will also be useful to the teams as they map out their work. Appendix C includes the following planning tools for teams:

- **Minutes of Our Team Meeting:** A form teams can use to structure meeting minutes in a consistent format.
- **Summary of Responses to Our Team's Questions:** A form teams can use to summarize their work in a consistent format.
- **Responsibility Chart:** A form for identifying tasks and the team members responsible for them and monitoring the progress of the work.
- **Change or Decision Checklist:** A guide for summarizing, implementing, and monitoring the results of decisions and/or changes.

The teams do not have to answer the questions in the order in which they are listed in chapter 5. However, as with the core questions, it might be useful for the teams to use some of their time during the first and second team meetings to identify things that can be done quickly and easily—the "low-hanging fruit"—to signal that change is underway and will be for the better.

Ongoing Team Meetings

After the team has decided how it will approach the work encompassed in its set of questions, its meetings will focus on accomplishing this work. The team should decide the frequency and length of its meetings, while considering the overall needs of the facility as well. Meeting relatively

often (perhaps every other week at the start) will help teams form relationships, develop clarity about their work, and build momentum. On the other hand, meeting when there is nothing important to consider or resolve can be counterproductive. Each meeting's agenda should include work the team needs to accomplish.

Do not allow meeting conversations to get stuck on problems to be solved. Tackling problems that have relatively quick and easy solutions will help jump-start the planning process, but should not become its focus. When dealing with problems in the facility, moving from the specific to the general—that is, from an issue that might be a symptom to a larger issue that might be the cause—will encourage strategic thinking and keep the strategic work at the forefront.

The responsibilities of the team facilitator and team members are outlined below. (See also the discussion of the role of a team facilitator under “Key Personnel,” page 79.)

Facilitator responsibilities:

- Request agenda items prior to meeting.
- Prepare agenda.
- Ensure meetings are productive and conversations are respectful, focused, inclusive, and on task.

Team member responsibilities:

- Work through the questions for the team's side of the Cube[®], determining how best to accomplish the work and defining roles and responsibilities.
- Establish a timeline for completing the work.
- Determine how best to solicit ideas from other staff for discussion at the team meeting.
- Respond to the questions of other staff and stakeholders and summarize their ideas.
- Decide how to share information about the team's work with other teams and the staff at large, in accordance with the overall communications plan.
- Deal effectively with conflicts that may arise among team members.
- Set the date of the next meeting and determine the amount of time needed for the meeting.

Be sure not to let hierarchy get in the way of the team's work. It is a good idea to let different members facilitate the team from time to time. The work will benefit if team members can talk with each other without regard to rank (as much as that is possible). Doing so tends to become easier the longer the team members work together.

Ongoing Coordination Meetings

The team facilitators, process manager, and facility leadership should meet at regular intervals, perhaps once a month. These meetings might require on average about 2 hours.

Team facilitators:

- Report on the work their teams have accomplished.
- Gather information they may need from other facilitators and from facility leaders who attend.
- Report on how their teams are working and how they are communicating with other facility personnel (getting input and sharing information about their work).
- Report on changes in policies, practices, or programs they have recommended and that have been implemented.

Team facilitators, process manager, and facility leadership:

- Discuss how to maintain the coordination and interdependence of their work.
- Determine the content and timing of interim work products to be developed.
- Establish a date, purpose, and agenda for the next meeting.

“Final” Meetings

The premise of the Cube® model is that strategic planning, management, and response are dynamic, ongoing processes. From that perspective, there really is no “end” to the teams’ work. However, at some point, the team members, facilitators, process manager, and facility leadership will determine that each team has accomplished the work of its side of the Cube®. At this point, you can hold “final” team coordination and team member meetings to assess your progress.

Final team coordination meeting. A final milestone meeting of team facilitators, the process manager, and facility leadership might include the following agenda items:

- Team facilitators and process manager discuss their effectiveness as facilitators and what they have learned.
- Team facilitators, process manager, and facility leadership:
 - Discuss the usefulness of the planning model.
 - Evaluate the process of the work and the lessons learned.
 - Assess outcomes of the work and the lessons learned.
 - Discuss the format and elements of the final planning document.
 - Determine the next steps.

Final meeting of all team members. Team members may decide to continue to meet to assess the progress of strategic planning, management, and response in your facility even after they have completed the work of their side of the Cube®. However, marking the “end” of the planning process—the point at which every team has completed its work—by bringing together the members of all the teams will give them an opportunity to celebrate their work as a group and reinforce the collaboration that has occurred. This might be a relatively brief meeting during which team members can talk about their experience, the changes they are already seeing, and what they have learned, or you might choose to have a more informal gathering, like a picnic. This meeting also affords an opportunity to thank all participants, talk about what might come next, and share what everyone has learned in the process.

Celebrations

Take every opportunity to gather together to celebrate the work that has been accomplished. Celebrations demonstrate the facility leadership’s commitment to the planning process and generate enthusiasm and momentum. When you achieve significant milestones or make changes that have positive results, pause to recognize these accomplishments. These celebrations could be as simple as marking off on a wall chart one more step your facility has made toward its goals or as involved as a picnic for all participants in the process or an awards ceremony for staff who have contributed significantly to achieving a goal in your strategic plan.

Pulling the Pieces Together

There will come a point—probably many points—at which the planners will want or need to begin to pull their work together, to see how the pieces fit, to create the whole picture—to “solve the puzzle” of planning. Pulling the pieces together will involve the preparation of short and focused documents such as a final list of values the facility advocates, a description of the communications plan, the list of strategic issues that need to be addressed, the goals that have been identified, and ways to measure and monitor accomplishments. Examples of interim products of the strategic planning process are listed under “Looking at What You Create” in chapter 8, page 116.

Stage 5: Draft and Finalize the Strategic Plan

The steps in stage 5 of the planning process are as follows:

- Designate a group to draft the strategic plan.
- Prepare the draft strategic plan and circulate it to staff for feedback.
- Finalize the plan.
- Release the final strategic plan to facility management and staff.

Consider recognizing team members’ efforts with some tangible award such as project pins, certificates of appreciation, or Rubik’s Cube® key chains.

The work of the teams in stage 4 leads to the development of a comprehensive (but not overwhelming) document that examines all aspects of the planning and culture examination process and responds formally to the questions posed by the Cube® model. There is no single “right” way to develop this formal, written strategic plan. The process presented below is based, in part, on the experience of the pilot test site, the Westville Correctional Facility in Indiana.

Develop the Draft Plan

When the teams have completed their responses to the planning questions, form a new group consisting of the warden/administrator, process manager, paperwork coordinator, one or two people from each team, and someone to edit. This group also needs a facilitator. You might choose a member of the group to serve as its facilitator, rotate this responsibility among group members, or invite someone who is not a member of any team to facilitate. This group might meet offsite for 2–3 days. Its tasks are as follows:

- Review all results of the teams’ work, including responses to the six sets of planning questions and the set of core questions and the interim products produced by each team.
- Synthesize the information.
- Identify key strategic issues and goals.
- Draft an initial planning document.

The group should discuss how it will accomplish its work and what the outcomes should be. They might work in pairs or small groups to review the results of the teams’ work and the answers to the core questions. They might then list all the issues that seem to be recurrent themes, categorize these issues, and identify those they believe the facility needs to address. Their next work would be to identify strategic goals that address the issues they have singled out and then annual goals for the upcoming fiscal year. They also might identify objectives for each of the annual goals. Shortly after the work has been completed, key planners and facility leaders might hold meetings with staff during which they can explore aspects of the document.

All of this work can be summarized in the planning document. The document should also include the facility’s mission and vision statements (whether they were developed as part of this process or already existed) and the value statements that support them. For a detailed list of items to include in your draft strategic plan, see the sidebar “Planning Report Elements.”

Planning Report Elements

As you develop your comprehensive planning document, consider how it can incorporate the following elements:

- An executive summary.
- A description of how your facility's planning process developed, including:
 - How the leadership and planners see the importance of strategic thinking and planning in the effective management of the facility.
 - Links between strategic planning and examining the facility's culture and subcultures.
 - Descriptions of stakeholders and how they were involved.
 - A list of the personnel who served in key roles and on the teams.
 - The communications plan.
 - Existing strengths and weaknesses you identified in your facility.
- A description of the work of your strategic planning process, including:
 - Analyses of information gathered for planning purposes (baseline data).
 - The teams' answers to questions in the Rubik's Cube® Model of Strategic Planning.
 - The key strategic issues and goals that emerged and why they are important.
 - Methods and criteria you used (and will use in the future) to monitor progress and success.
 - Results of performance measurement.
- The outcomes of your planning process, including:
 - Descriptions of decisions made and actions taken.
 - Descriptions of program and policy changes initiated.
 - Statements of vision, mission, and strategic goals.
 - Annual goals, if they are developed through this process.
 - The impact of the planning process work on the facility culture, including leadership, management, staff, and offenders.
 - The impact of the planning process work on the overall functioning of the facility.
- How strategic thinking and planning have become and will continue to be part of the way you conduct business in your facility, including:
 - A plan for managing change in the facility, including processes to incorporate lessons learned into the ongoing planning process.
 - Estimates of resources needed to sustain the planning process and realize its goals.
 - Training programs begun to support the planning and work of culture examination.
 - Recommendations for future initiatives.

Do not view the writing and release of a “comprehensive strategic plan” as the end of the planning work. Strategic planning is an ongoing process in which new issues surface and creative strategies emerge continuously.

Obtain Feedback on the Draft Plan

Circulate the draft plan, accompanied by a form with contact information for the group that drafted the document, to all staff for their feedback and questions. You might also share the draft with the regional or central office. After the deadline for responses, the group needs to meet again to review the staff’s comments and make revisions where necessary. Consider including some of the interim products of your planning process with the final document when it is released.

Release the Final Strategic Plan

The warden/administrator, process manager, and one or two members of the group that prepared the document might meet with all department heads and supervisors to be sure they understand their responsibility for the work involved in implementing the plan and for engaging their staff. There should be no surprises, because team members solicited input throughout the process. If time allows, the same group might want to meet with all staff as well, perhaps in small groups, to review the plan and how it was drafted. These meetings will ensure that the strategic plan is presented consistently to the entire facility.

Move Forward

Do not view the writing and release of a “comprehensive strategic plan” as the end of the planning work. Strategic planning is an ongoing process in which new issues surface and creative strategies emerge continuously. In a facility that has become a learning organization, staff will continually be on the lookout for new ideas and solutions, finding new ways to see the facility as a system. Communication and information sharing will flow throughout the facility—up and down the chain of command and horizontally across departments—to ensure that you are all moving together toward your vision and strategic goals.

The most important outcome of planning will be its impact on the strategic management of the facility at all levels, every day. Section 4 of this guide specifically addresses strategic management and response, which encompass the tools you will need to keep your strategic plan alive. Strategic management and response will help you keep your facility’s vision, mission, and goals in the forefront; ensure ongoing examination of your facility’s culture; and help you to achieve the highest possible quality of life for staff and offenders.

The Planning Process Outlined

Stage 1: Assess Your Facility's Readiness for Strategic Planning

- Share this guide with key staff.
- Decide whether this model of planning and culture examination is right for your facility.
- Determine the facility's readiness for strategic planning.
- Determine the level of support you have from the central office.
- Estimate costs to assess whether you have the financial resources you need. Determine whether you need funding or technical support and which sources you might contact to obtain them.
- Build trust and credibility among the staff. People may need to know you care before they care what you know.

Stage 2: Lay the Groundwork

- Designate a process manager. If you did not designate team facilitators during your introductory meeting, consider who might serve as team facilitators.
- Decide how you will coordinate the information generated by the teams and determine who will be the coordinator.
- Establish the framework of a communications plan.
- Designate a strategic planning center (a place where information is kept and coordinated) in the facility.
- Meet with staff on each shift to inform them about the strategic planning process and introduce the Cube® model (consider using a PowerPoint presentation).
- Send a followup letter to all staff informing them about the planning process.
- Collect baseline data to determine the current reality and to identify the aspects of the facility you will monitor and use to measure success.

Stage 3: Plan and Hold the Kickoff Meeting

- Identify who should attend the kickoff meeting and arrange for their positions to be covered while they are at the meeting.
- Determine a launch date and how to celebrate it.
- Develop the agenda for the meeting.
- Determine when and where the meeting will be held and arrange for the meeting space, equipment and materials, and refreshments.

Continued on next page.

The Planning Process Outlined (continued)

- Send a notice about the kickoff meeting to the staff chosen to participate in the process. Include the agenda for the meeting.
- Plan the team facilitator's training session (day 3 of the meeting).
- Conduct the kickoff meeting, including the facilitator training.

Stage 4: Hold Team Meetings

- Hold a kickoff meeting for the team facilitators and process manager before the teams meet for the first time.
- Conduct team meetings (perhaps once every 2 weeks, at least at the start).
- Conduct coordination meetings of the team facilitators, process manager, and facility leadership regularly, with the first one soon after the kickoff meeting and prior to any team meetings.
- Establish timeframes for your work.
- Conduct focus groups and interviews and administer surveys to get information about your current reality, monitor your work, check staff perceptions about the work and the changes being made, and keep track of how teams are functioning. (This guide includes checklists and other tools you can use. See chapter 8, "Measuring Your Work," and appendix B, "Data-Gathering Tools.")
- Conduct meetings and, possibly, trainings with middle managers.
- Conduct staff training if you determine that is necessary. (Some of the areas in which training can help both staff and managers develop skills that will enable them to engage in the strategic planning process with confidence are leadership development, conflict management and resolution, communication skills, and building collaboration.)
- Produce interim planning documents.
- Host celebrations when you achieve significant successes—for example, when a change in policies or processes yields positive results or, certainly, when you produce an interim or final written product.

Stage 5: Draft and Finalize the Strategic Plan

- Designate a group to draft the strategic plan.
- Prepare the draft strategic plan and circulate it to staff for feedback.
- Finalize the plan.
- Release the final strategic plan to facility management and staff.

Managing Facility Communications

Open communication is essential to creating and sustaining the positive culture that will make your facility a **learning organization** (see page 34). If you want and expect staff to be committed to the planning and change process and to participate fully in it, be creative and thoughtful about communications from the very start.

Chapter 6 introduced two primary strategies for fostering ongoing and timely facilitywide communications: developing a communications plan and establishing a strategic planning center (pp. 82–83). A variety of other strategies for managing facility communications are discussed below.

- **Meet with staff.** Introducing the process in meetings with all staff on each shift in each department is part of laying the groundwork for your strategic planning. Continuing to hold these meetings at regular intervals throughout the process will help keep communications open, give staff a forum for input and feedback, and demonstrate the facility leaders' support for and commitment to the work. Consider developing a PowerPoint presentation to use as the foundation for your discussions. Each team might also develop a PowerPoint presentation that includes the Cube® questions the team is working with, possible work outputs, a list of team members, and contact information for the team facilitator(s) and, possibly, all team members.
- **Set up suggestion boxes.** Place suggestion boxes around the facility in strategic locations and set up a bulletin board in the staff dining room. Invite staff to submit ideas and suggestions as well as concerns. Allow for submissions to be anonymous, but encourage people to sign their submissions so they can be assured of a personal response. Make sure that someone knowledgeable responds in a timely manner, talking with individuals who choose to identify themselves. Keep a record of suggestions and questions and of the responses to each. At the pilot site, the Yellow Team took responsibility for the suggestion boxes and for getting answers from knowledgeable sources.
- **Use established lines of communication.** If you have internal e-mail, you might use that as a means of ongoing communication. If you have



If you want and expect staff to be committed to the planning and change process and to participate fully in it, be creative and thoughtful about communications from the very start.

See chapter 4, “What Do We Need To Know About Change?,” for an explanation of different levels of organizational change.

an internal newsletter, you might run a regular column about the planning work and responses to and ideas for it. If you do not have a newsletter, this would be a good time to create one to build on staff interests and strengths.

- **Look for other opportunities for communication.** Include information about your strategic planning and culture work in orientation sessions for new staff and in ongoing staff training. Distribute information about the process in paycheck envelopes. Use Corrections Week activities to highlight the ongoing work.
- **Encourage managers and supervisors to engage their staff in the planning process.** Ask managers and supervisors to raise issues and ask questions at each regular staff meeting and, if possible, at roll call. This kind of ongoing conversation can prove invaluable when the time comes to implement decisions that require change. (Bear in mind that once even small decisions that require developmental change are made, making sure those changes take place and are communicated throughout the facility is vital to the success of your planning process.)
- **Make sure leaders are visible.** Practice what Tom Peters and Robert Waterman (1988) call “management by walking around.” People in leadership positions need to be visible and regularly available to talk with staff informally. They need to be seen supporting the work of ongoing planning, culture examination, strategic thinking, and change.
- **Celebrate milestones and successes.** As your work progresses, find ways to inform all staff about even small steps toward improvement and to celebrate and congratulate those who participated. As one veteran of strategic planning said, “I am sure that when Columbus reached the New World, it wasn’t just another day on the ship.”
- **Include offenders in the communications loop.** Many offenders have considerable influence on other offenders and also on staff. Because an examination of the facility’s culture is an integral part of this model of strategic planning, management, and response, it will be helpful—even necessary—to include the offender network. Consider initiating or modifying offender meetings to identify issues and potential solutions (see sidebar, “Including Offenders in the Communications Loop”).
- **Seek staff input during the drafting of the strategic plan.** As the teams gather and craft responses to their questions and begin to draft pieces of the strategic plan, hold meetings with small groups of staff to get their input and feedback. Be sure to include department heads and supervisors as you work through the process.

Finally, communicate a sense of order about the process. This is not to say that the process needs to be rigid, as there likely will be reasons to modify it as work progresses. However, everyone involved will feel more secure and confident if the process is clearly defined at the start, its purpose is clear, and information about it flows continuously.

Including Offenders in the Communications Loop

The pilot test site, Westville Correctional Facility in Indiana, established dorm representative meetings to provide a formal opportunity for offenders to bring issues to the staff. There are established ground rules for these meetings. Offender representatives meet with the complex director to discuss issues other offenders have raised with them. Within 1 month after the issues are identified, the complex director reports back to the offenders on what has been done to address the problems raised or why the issues could not be addressed.

These meetings are not forums for handling offenders' concerns about staff. Such concerns continue to go through established channels. By providing an outlet for offender concerns in a structured setting and identifying issues staff need to address, the dorm representative meetings at Westville have brought change to the dorms and built trust.

Measuring Your Work

Strategic planning is a significant organizational initiative that should be measured just as you would any other program or process that takes place in your facility. Deciding what you want and need to measure and how to do it will be a significant and ongoing part of your work in strategic planning and management. This chapter provides guidance on the kinds of information to gather as you begin examining your organizational reality.

Important Considerations About Measurement

Measurement can motivate and inspire people and organizations to change. However, some people see measurement/assessment as threatening because it might reveal issues they do not want to acknowledge or are not prepared to address. For this reason, the measurement methods you use in your strategic planning should be designed to make it safe to discuss all types of issues—problems, concerns, and successes.

Measurement is not an end in itself. It should be the beginning of work that leads to action and change. Because measurement can be time consuming, first determine what you need to know to move your strategic planning process along and then focus on compiling only essential data and information. This chapter provides guidelines for two aspects of measurement:

- Collecting baseline data that will enable you to take a close look at where your facility is now, so that you can decide where you want and need it to be.
- Monitoring your progress, both in the strategic planning process and in achieving the outcomes you want.

A variety of measurement tools are provided in appendix B to assist you, but these are not the only means you can use to gather information to guide your strategic planning process. Use the information obtained with these tools as a catalyst for discussion and to help you design other ways of gathering and making sense of the information you need for your strategic planning, management, and response efforts. Think about what you already measure and how to compile and use that information in planning and keeping track of your work.



Deciding what you want and need to measure and how to do it will be a significant and ongoing part of your work in strategic planning and management.

What aspects of the facility do you want/need to examine and use to measure success?

Data-Gathering Tools

The following tools are provided in appendix B to help you gather information about your facility's culture and the process of your work. Please use them as they best fit your needs.

- Sample Interview and Group Conversation Questions.
- Looking at Our Current Reality.
- Communications Assessment.
- Collaboration Status Assessment.
- Looking at Our Strategic Planning Process.
- Organizational Culture Discussion Guide.
- Strategic Management Assessment.

The Human Synergetics® International *Organizational Culture Inventory*® is another valuable data-gathering tool. This survey is discussed below and in appendix D.

Collecting Baseline Data

As noted in chapter 6, strategic planning begins with looking at your current reality (page 83), a process that begins with the two tools recommended in stage 1 (“Initial Assessment of Need for Strategic Planning and Culture Examination” and “Facility Strategic Planning Readiness Checklist”). Once you have decided to move forward with strategic planning, you will want to gather information to develop a more comprehensive understanding of your facility. Combining individual and collective perceptions (*qualitative measures*) with facts and figures (*quantitative measures*) will produce the most useful picture. You probably routinely gather quantitative data on measures related to offenders (e.g., grievances, assaults, escapes, substance abuse test results, program participation, general equivalency diploma (GED) completions) and to staff (e.g., attendance, disciplinary actions, turnover). Equally important to strategic planning are qualitative data on subjective issues such as the perceptions of staff, offenders, and other stakeholders; how you do what you do; and how people work together.

Note: Although this section of the chapter focuses on gathering baseline data, many of the approaches suggested can and should be used periodically to “take the pulse” of your facility throughout the planning process and thereafter as part of ongoing strategic planning and management.

Qualitative Measures

Obtaining the views of the people who are most invested in your facility—the stakeholders, both internal and external,—is important. Understanding

their perspectives on your facility's strengths and needs can help you understand its organizational culture and set the tone for your planning work and for change. There are three primary techniques that can be used to assemble qualitative data about your current reality: interviews, group conversations, and surveys.

Interviews

Interviews give people a one-on-one opportunity to share their thoughts about what is working well in the facility and what needs to change. They therefore make the planning process more personal and help people feel engaged in and directly responsible for both the current reality and the future. The personal nature of interviews yields more specific qualitative information than may be obtained through other forms of data gathering.

Before you begin conducting interviews, be clear about what you want to learn from the people you talk to. Put together a short list of questions that can be addressed in less than 30 minutes. (See "Sample Interview and Group Conversation Questions" in appendix B.)

Group Conversations

Conducting group conversations is a good way to involve people in looking at your facility. Topics for discussions include questions that affect your facility's future direction as well as its current state. These conversations can be formal or informal. As with interviews, be sure you are clear about what you want to learn from group conversations before you hold them. The "Organizational Culture Discussion Guide" in appendix B provides a set of questions you can use to initiate discussions about your facility's culture.

Surveys

Surveys offer an opportunity to learn about the perspectives of a larger number of people. Surveys usually consist of a list of questions with quantified responses (e.g., respondents can be asked to put items in priority order or to rate them on a 1 to 5 scale). Surveys sometimes include open-ended questions that ask respondents to write in an opinion or value judgment. Offering this option adds to the time and expertise required to analyze survey results.

The *Organizational Culture Inventory*[®] (OCI) is a valuable tool for obtaining information about your facility's culture (see page 112). You might also investigate other inventories that have been developed for measuring organizational culture or other aspects of the facility that you may want to measure. You can also develop your own survey to focus on specific aspects of the facility that you and/or the planning teams want to explore. If you are working with a facilitator trained by the National Institute of Corrections (NIC), that person also will have ideas about how to measure your work.



Consider what information about the offender culture would be helpful to know at the start of your work. Identify what you would measure to determine whether your work is having a positive impact on offender culture, what success would look like, and how you would know you had achieved it.

Using the *Organizational Culture Inventory*[®]

The *Organizational Culture Inventory*[®] (OCI), developed by Human Synergistics[®] International (HSI), is a survey designed to obtain a structured overview of an organization's culture. As explained on HSI's Web site, www.humansynergistics.com, the OCI collects information on the respondents' understanding of the behaviors they think are expected of them in order to fit in to the organization—that is, the “behavioral norms” that guide the way they approach their work and interact with one another. The combined results of all staff who complete the OCI at a given time yield a picture of the organization's culture at that time.

Because an organization's behavioral norms “determine its capacity to solve problems, adapt to change, and perform effectively” (www.humansynergistics.com), the information the OCI provides can help an organization assess what works in its culture and what it might want to change. If the organization takes steps to change its culture, repeating the OCI at intervals can help it measure the effect of these efforts.

Because culture examination is a major aspect of the Rubik's Cube[®] Models of Strategic Planning and Strategic Management, you may want to consider using the OCI at one or more of the following stages in your planning process:

- **Before the start of the work:** You can use the OCI as part of exploring your facility's readiness for strategic planning (stage 1) or to get a structured look at your facility's culture when laying the groundwork for your planning process (stage 2). Administer the inventory to a random sample of staff and bring the summary of the results to your kickoff meeting (stage 3) along with the results of the assessment and checklist used in stage 1.
- **At the start of the work:** Administering the OCI is part of the recommended agenda for the 2-day meeting that formally kicks off your planning process (stage 3). The agenda for this meeting also provides time for discussing the participants' composite OCI results and the composite results of staff who completed the OCI before the meeting.
- **During the planning process:** Repeating the OCI one or more times during the process can help you monitor the impact of your work on the facility.
- **At the end of the planning process:** Administering the OCI after you have drafted your strategic plan can give you an in-depth look at how your facility has changed over the course of the planning process.
- **After the plan is implemented:** Readministering the OCI 6 months after you have begun implementing your strategic plan can help you assess the plan's effect on your facility's culture.

Appendix D provides background on the OCI and guidelines for using it in the preliminary stages of the planning process, in the kickoff meeting, and during the process. For more detailed information on the OCI, see the *Organizational Culture Inventory*[®] *Interpretation & Development Guide* (Szumal, 2003). To obtain copies of the inventory or the *Interpretation & Development Guide*, visit the Human Synergistics[®] International Web site, www.humansynergistics.com.

Note: Before administering any surveys, be sure to check whether labor contracts or memorandums of understanding place any restrictions on surveying employees and obtain necessary clearances. You may want to provide for responding anonymously, as the purpose of gathering the information is to compile a total picture rather than to identify individual responses, although there may be information about shifts or departments that would be useful to know.

Quantitative Measures

Gathering factual information about your facility's offender population, staff, programs, and budget will help you get an understanding of where things are now and how you might measure future success. Develop a measurement plan that identifies the following:

- The types of information you want to gather.
- The questions to be answered.
- Likely sources of necessary data.
- Preferred methods of analysis and reporting results.

The sidebar “Some Uses for Data” (next page) outlines the types of quantitative information you may want as you look at your current reality. Your strategic planning teams can identify aspects of the facility they want to explore. They can work with the people in the facility or central office who usually collect that information (or with an NIC-trained facilitator) to get what they need. Much of the quantitative data you are likely to need is probably available in your management information systems and paper records.

Putting the Picture Together

Once you have gathered information about your facility, your strategic planning teams can put it all together to paint a comprehensive picture of the current reality. The form “Looking at Our Current Reality” provides a table to help teams summarize what they have learned from the baseline data (see appendix B). By comparing this picture with your shared vision of the organization's future, you will be able to identify the gaps between what is and what you hope can be. Then, by building on strengths, taking advantage of opportunities, and working to overcome challenges and barriers, you can ensure the success of your strategic planning and management process.

As you assemble information, many issues will emerge. Some of these issues are likely to be easy to address, but some issues will take the time and talents of others to resolve. You may need to turn to people external to the facility (including, but not limited to, central office administrators, the legislature and judicial system, and advocacy groups) to address some issues. To conserve resources and ensure positive outcomes, identify the issues that are most critical to your organization's future as the targets for your strategic planning and change process.

Some Uses for Data

The data you collect can help you describe changes over time and document the impact of political, policy, program, and resource shifts. Some specific uses for data are listed below.

To assess workloads:

- Understand the impact of decisions on workloads.
- Forecast future workloads and offender populations.

To assess offender programs and services:

- Obtain information on offenders' needs for supervision, programs, and services. Data to gather include:
 - Incidents of offender violence.
 - Substance abuse test results.
- Examine ways that various types of offenders could be better matched to programs and services.
- Determine the capacity of available resources.
- Identify gaps in the continuum of programs and services.
- Assess eligibility criteria for programs.
- Understand the ways that programs define "success."
- Fine-tune the quality and effectiveness of programs and services. Data to gather include:
 - Offender program completion. (Has it increased or decreased?)
 - GED completions.

To assess the facility's physical plant:

- Document current capacity for all facility functions.
- Examine the fit between form and function.
- Determine how facility design is affecting facility operations.

To assess financial health:

- Document the costs of current practices.
- Determine cost-benefit ratios for selected facility activities.
- Test the cost impacts of changes in policies and practices.

To assess staff issues:

- Determine staff training needs.
- Fine-tune the quality and effectiveness of staff programs and services.
- Track staff job satisfaction. Data to gather include:
 - Median length of employee service. (Does it go up over time, indicating people are sticking longer with the job? Why might that be happening?)
 - Attendance, including use of sick days and overtime issues.
 - Incidents of staff misconduct.
 - Percentage of staff grievances resolved at the local level (indicating whether you are "fixing" more of your problems locally).
 - Union-related issues.

Monitoring Your Progress

Strategic planning that does not incorporate organizational performance measurement is just wishful thinking. Performance measurement should be an integral part of your planning process from the beginning. As the central evaluation activity for which facility managers and staff are responsible, performance measurement is a process that will foster accountability, improve communications, and enable ongoing improvement of facility policies, programs, and services. Moreover, knowing how your work is proceeding and whether it has been successful *as measured by your own criteria* will be valuable in maintaining the staff's commitment to the work.

Fundamentals of Performance Measurement

Performance measurement is concerned only with determining whether the intended activities, outputs, or results of an effort are achieved. Good performance measurement requires:

- A clear vision of intended activities and results.
- Agreement on the criteria to be used to assess the quality and impact of outcomes. (Factors important to successful strategic planning are discussed in chapter 3, "Building Culture: A New Approach to Strategic Planning and Management.")
- Systematically gathered information about participants, activities, and outcomes.
- Careful analysis of efforts and outcomes that can be used to inform future decisionmaking.
- Willingness to use the results of the analyses to make constructive changes in policies and practices.
- Internal control systems that can ensure the accuracy of data and information collected about inputs, activities, outputs, and outcomes.
- Recordkeeping and management information systems to store and analyze the data gathered.

Questions Organizational Performance Measurement Asks

Organizational performance measurement assesses the success of your planned initiatives by comparing what actually happened to what was planned or intended. It answers the following key questions:

- What are the planned resources, activities, and outcomes?
- What resources are actually used?
- What is actually done by a program/initiative?
- Who actually participates?

- Are the anticipated outcomes or results achieved?
- What do these efforts and results mean for future initiatives?

The following sections discuss methods for monitoring your resources, outputs, and outcomes.

Looking at Your Resources

As discussed in chapter 6, taking inventory of the resources needed for strategic planning is an important first step in the process (see “Stage 1: Assess Your Facility’s Readiness for Strategic Planning,” page 72). Monitoring the resources being used as your planning process evolves rather than waiting until you have achieved—or failed to achieve—important milestones is also crucial. Following are some key questions to address periodically (at least every 3–4 months):

- Do we have sufficient involvement of key stakeholders?
- Are any statutes or administrative policies inconsistent with our vision, goals, or planning process?
- How have our planning resource needs changed?
- Are more or different resources being used than we anticipated?
- Are we making the best use of available resources?
- Do we need more or different kinds of resources to sustain our strategic planning efforts?

One of the resources most crucial to this model of strategic planning is your facility’s capacity for collaborative teamwork. For this reason, periodic assessment of each planning team’s strengths and challenges is also recommended so that you continue to improve the ways that you work together. The “Collaboration Status Assessment” provided in appendix B can be used for this purpose. This form can be modified for use in a specific department or on a specific shift as well.

Looking at What You Create

The outputs of strategic planning are just as important as its outcomes because they give everyone involved in the process visible evidence of their progress. Determining the work products you would like the strategic planning process to generate will better prepare you to highlight successes and celebrate accomplishments. This in turn will add energy and enthusiasm to the process, assure accountability to stakeholders, and encourage broader participation. The information you obtain by tracking outputs may also suggest new strategies that will advance your work.

Early in their work, the planning teams should identify the types of documents and reports they expect to produce, who will be responsible for generating them, and when they should be completed. The outputs of strategic planning (i.e., what you produce) are not all quantifiable, but they are tangible. Possible work outputs are listed for each team in chapter 5, “Rubik’s Cube® Model of Strategic Planning®.” Following are some examples:

- A communications plan to keep information flowing.
- A plan for looking at your current reality (including programs, services, and issues related to the internal and external environments) that clarifies each team’s role and responsibilities.
- A description of the culture as it is and how people want/need it to be.
- Summaries of information used in your planning, including information obtained through focus groups, surveys, and interviews.
- New mission and vision statements.
- A list of core values (see sidebar “Examples of Value Statements” on next page).
- A list of core competencies (see sidebar “Examples of Core Competencies” on page 119).
- A statement of how you hope the facility will function in the future, with a focus on operations and how people work together.
- A list of the strategic issues you have identified and why they are important.
- A list of goals to accomplish as you tackle the strategic issues and a plan of action for achieving them.
- A plan to measure your progress toward achieving the goals.
- Reports on progress toward the goals.
- Meeting agendas and minutes for each team.
- Documentation of the decisions made by each team, including options considered and rejected.
- A list of accomplishments and successes of each team and of the overall process.
- Comprehensive strategic planning reports.

Be creative and forward thinking as your process gets under way. You may develop other work products (e.g., suggestion box dialogs) that are worth sharing with staff, managers, the central office, offenders, and, where appropriate, other stakeholders.

Outputs are products you create, such as a document.

Outcomes are results—the changes brought about by your work.

Examples of Value Statements

The following value statements come from departments of corrections:

- We value management and supervision that is inclusive, caring, self-directed, and wants to work together for the good of the [facility name] community.
- We believe in the continuous development of staff.
- We value consistent, sound decisionmaking resulting from job knowledge, an understanding of goals, and a firm commitment to the successful operation of the facility.
- We respect and appreciate each other's roles and responsibilities.
- We promote an environment of professional conduct and respect that fosters healthy and safe working and living conditions for staff and offenders.
- We foster dignity and respect for staff, offenders, and the public.
- We value the interdependence of security and programs to promote a safe and effective environment for staff, offenders, and the community.
- We believe that all individuals must be accountable for their actions.
- We value employees who give of themselves to help improve the lives of others and the communities of which they are a part.
- We value people of vision and influence who can lead us into the future.

People can value things that seem negative. Therefore, value statements are not always positive. As the following statements show, it is possible to value aspects of the culture that may seem negative. If such cultural aspects exist, you can assume they are valued, at least in some parts of the facility.

- We value a decisionmaking process that flows from the top to the bottom and allows little or no input from subordinate staff.
- We value not getting our professional needs met more than we value risking open communication.
- We value not making decisions for fear of being held accountable.

Examples of Core Competencies

- Commitment to modeling the organization's values.
- Flexibility, adaptability, and creativity in changing conditions.
- Commitment to continuous quality improvement.
- Achievement and demonstration of job-specific knowledge and skills.
- Interpersonal respectfulness.
- Professional presence.
- Personal and professional integrity and honesty.
- Ethical behavior.

Looking at What Changes as a Result of Strategic Planning

As you develop goals and objectives for your strategic planning process, you should identify the intermediate and long-range outcomes that you expect to achieve—that is, what will be different as a result of the work, such as planned changes in facility programs, policies, and activities. Your assessment should consider the quality of your strategic planning process as well as the organizational, cultural, fiscal, and relational effects of the process on your facility. The following sections present quantitative and qualitative methods for measuring what changes as a result of your work.

Qualitative Methods for Monitoring Outcomes

The following survey tools provided in appendix B are designed to help you measure the quality and impact of your work. All of them can be used at regular intervals to track progress and identify emerging concerns. In working with these tools, please remember that they are intended to serve as a catalyst for discussion.

- **Looking at Our Strategic Planning Process.** Use this form after your strategic planning process has been under way for a few months to learn what is working and what needs improvement. Readministering the assessment every 3–4 months is recommended.
- **Communications Assessment.** Use this form to obtain feedback on the quality of communications in your facility. Summarize the results by stakeholder category to learn whether perceptions of the quality of communications differ according to constituency. If so, you may want to set up discussion groups to explore the reasons for these differing perceptions. With this information, you can develop methods to improve facilitywide communications. This form is also useful in developing your communications plan (see chapter 7, “Managing Facility Communications”).

- **Organizational Culture Discussion Guide.** Use this guide to frame small group discussions about the changes people are observing in facility culture as strategic planning and management move forward. As your process develops, new topics for discussion may arise. To reinforce the open and inclusive nature of your planning process, include in your discussion groups not only those participating in the strategic planning but also those who are affected by it. By inviting all stakeholders to participate, you also will gain valuable information that can help you avoid unintended negative consequences of strategic planning and maximize its positive effects on your facility culture.
- **Strategic Management Assessment.** Use this tool after you have been engaged in the strategic management activities for a few months and several times thereafter over the period of a year. Section 4 of this guide, which addresses strategic management, discusses how to gauge whether staff are managing and responding strategically. By asking for anonymous responses to this form from a wide range of staff, managers, and other stakeholders, you will learn whether different groups have contrasting views of the progress you are making. The responses you obtain should lead to honest discussion of differences and renewed commitment to the values and goals of strategic thinking, planning, and managing.

Quantitative Methods for Monitoring Outcomes

Effective performance measurement begins with developing a clear, shared understanding of the steps that will lead to the outcomes you want. To this end, ask your strategic planning teams to do three things:

- Define the long-term goals they want the facility to achieve.
- Describe the components of the activities or initiatives that need to be put in place to achieve these goals, referring to proven best practices whenever possible.
- Identify the results or outcomes expected from these activities, beginning with the first likely outcome and continuing through to long-term outcomes.

For example, suppose one of the planning teams wants to contribute to reaching the long-term goal of reducing the recidivism of your offenders. In reviewing the literature on best practices, the team finds research evidence that therapeutic communities are more effective in reducing substance abuse and recidivism in facilities than either education or counseling alone. The team then recommends implementing a therapeutic community (TC) substance abuse treatment program *so that*:

- Offenders with alcohol and drug abuse issues will participate in the TC voluntarily, *so that*
- These offenders will develop the behavioral and cognitive skills necessary to prevent and deal with relapses and pursue healthy lifestyles, *so that*

- They complete the TC program successfully, *so that*
- Those offenders who complete the TC are able to maintain their sobriety after their release from the facility, *so that*
- They are not arrested after their release from the facility.

Sobriety maintenance and recidivism can only be measured after offenders are released from the facility, and these long-range outcomes are the product of many factors in addition to TC participation. Therefore, the team should focus its measurement efforts on the *in-facility outcomes* most directly affected by the TC, such as the success of each of the intermediate objectives listed in the “so-that” chain above (see “Outcome Evaluation of a Facility Therapeutic Community for Substance Abuse Treatment,” Wexler et al., 1992). Exhibit 5 lists the types of data that would be relevant to measuring success with regard to each of these objectives.

Exhibit 5. Examples of Data Relevant to Assessing the Objectives of a Therapeutic Community Substance Abuse Treatment Program

Objective	Relevant Data
Offenders with alcohol and drug abuse issues voluntarily participate in the TC.	<ul style="list-style-type: none"> ■ Total number of eligible offenders. ■ Number of eligible offenders who choose to participate. ■ Percentage of eligible offenders choosing to participate.
Participating offenders develop behavioral and cognitive skills necessary to prevent and deal with relapses and pursue healthy lifestyles.	<ul style="list-style-type: none"> ■ Skills and attitudes inventories completed by offenders at admission and at completion of program. ■ Facility behavioral/disciplinary records of participants.
Participants successfully complete the TC program.	<ul style="list-style-type: none"> ■ Number of eligible offenders admitted to participate in program. ■ Number of participants who successfully complete each phase of the program. ■ Number of participants who complete the entire program. ■ Percentage of participants who complete the entire program.

This “so-that” approach, often referred to as a “logic model” (Goodstein, Nolan, and Pfeiffer, 1993; Schmitz and Parsons), will help you incorporate measurement in all types of new initiatives, from offender programs to staff training events to policy changes. **Basically, you are defining realistic yardsticks against which your efforts can be measured.** Using the so-that approach enables you to assess whether your work is successful in meeting its intended purpose.

Evaluating whether your initiatives have been implemented as intended is essential to monitoring their performance. Therefore, careful program planning is important. Without confirmation that a program, service, or policy is operating according to your design, you can easily misinterpret a negative outcome as proof that the initiative does not “work” when, in fact, it was not properly implemented.

To return to the example of the substance abuse treatment TC, if the TC staff are not adequately trained or budget cuts result in staffing cuts, participating offenders might not achieve the desired cognitive or behavioral changes. However, it would be a mistake to attribute this outcome to flaws in the TC program design or concept. Disappointing outcomes should not lead managers to make “thumbs up/thumbs down” decisions about the fate of programs, but rather should be viewed as opportunities to learn about what works in your facility.

Summary

Looking at your current reality, measuring your work and outcomes, and monitoring your strategic planning process are essential pieces of the strategic planning and management puzzle. The information presented in this chapter, along with the practical tools provided in appendix B, can guide you in gathering useful data, encouraging productive discussion, and making decisions based on reliable and valid information.

Section 4

Rubik's Cube® Model of Strategic Management®



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Strategic Management and Response

Imagine that you want to build an addition to your house. You have a specific purpose for the space you are adding: It will be a room in which to relax, watch television, and listen to music. What you have, at the start, are your intention and ideas. You also may know how much you want to spend on the project. Before you can begin building, however, you need to ask and answer essential questions about design, timing, resources, and so forth—that is, you need to create a plan. However, the plan alone will not be enough. To implement your plan and build the addition you want within the parameters you have established, you will have to manage the project strategically and be able to respond strategically to obstacles, crises, and detours as they arise.

Developing a strategic plan for your facility is like putting together a plan for improving your home: You take stock of your facility's current reality, design the future you envision for the facility, and detail the most effective ways to achieve that future in the context of the facility's culture and the internal and external environments with which it interacts. Then, to achieve the promise of your strategic plan—to bring it to life—you need to manage and respond strategically.

The Cube® Model of Strategic Planning takes you through the process of asking and answering the questions necessary to define your facility's mission, vision, and goals—your statement of intention and direction for the facility—and to develop feasible, effective strategies for achieving them. To implement the goal-oriented approaches in your strategic plan, it is best if everyone in the facility thinks, manages, and responds strategically, ensuring that the decisions they make and the actions they take lead the facility toward accomplishing its mission and vision.

Strategic management and response were introduced in chapter 3 (pages 29–30). This chapter further explores these approaches and discusses the benefits of implementing them.



To achieve the promise of your strategic plan—to bring it to life—you need to manage and respond strategically.

Strategic thinking:
Thinking informed by a constant awareness of the **context** of the internal and external environments affecting your choices; recognition of the **consequences** of your decisions and actions in the short and long term; understanding of the **connection** between your decisions and the achievement of the organization's mission, vision, values, and goals; and the **conscious intent** to take advantage of opportunities that present themselves and transform challenges into opportunities.

What Is Strategic Management?

Strategic management is decisionmaking that takes into account the organization's culture and the internal and external environments with which it interacts (see chapter 3, pages 29–30). As such, it is the complement of strategic planning. As you work with the questions of the Cube® Model of Strategic Planning, you will be encouraging strategic thinking at every level of your facility. Practicing strategic management requires thinking long term and seeing individual events in the context of the whole facility system—that is, seeing the linkages between each event, decision, and action and its consequences. It is the ultimate result and measure of systems thinking, one of the five disciplines of a “learning organization” (see page 34), and is, therefore, the next logical step after you have initiated strategic planning. With strategic management, you bring your facility's strategic plan to life.

Without strategic management, the work of strategic planning is incomplete. As you work through the process of strategic planning with the Cube® model, you will be encouraging strategic thinking at every level of your facility. Strategic management integrates the strategic plan into the daily operation of the facility. Those who manage strategically keep in mind how their behavior and decisions move the facility toward accomplishing its mission, vision, and strategic plan. While keeping their eyes on the future, they remain closely connected to the daily life of the facility and therefore are able to see patterns of work and relationships and the changes in those patterns over time. They build on the natural interconnections between decisions and activities that affect staff and those that affect offenders to continuously improve the quality of life in the facility for everyone.

Strategic management is the counterpart of operational management, not its replacement. Through strategic management, you will allocate resources and shift priorities as needed to achieve the long-term goals set forth in your facility's strategic plan, in concert with the mission, vision, and values stated in the plan. James Morrison and Ian Wilson (1996) sum up the relationship between these two aspects of management:

Strategic management does not replace traditional management activities such as budgeting, planning, monitoring, reporting and controlling. Rather, it integrates them into a broader context, taking into account the external environment, internal organizational capabilities, and your organization's overall purpose and direction. Strategic management not only creates plans attuned to assumptions about the future, but also focuses on using these plans as a blueprint for daily activities.

What Is Involved in Managing Strategically?

The strategic planning and management processes leave room for what are called **emergent strategies**. These are ideas for actions and new directions that come to the attention of people who are deeply aware of current realities and, at the same time, are keeping their eyes on the future. Because strategic planning never truly ends, the process must anticipate that new issues and strategies will emerge continuously and must provide mechanisms for recognizing and incorporating them into the facility's overall strategic thinking process.

Strategic managers need to develop what Mintzberg, Quinn, and Voyer (1995) call **peripheral vision**: the capacity to see more than one way (strategy) to achieve an end. They define strategy as “a pattern of actions to accomplish an organization's purpose” and state that “The validity/value of a strategy lies in its capacity to capture the initiative, to deal with unknowable events, and to deploy and concentrate resources as new opportunities emerge” (Mintzberg, Quinn, and Voyer, 1995: 116, 131).

To manage a facility strategically, managers and supervisors must also adopt new roles and employ new approaches, such as the following:

- Creating a proactive environment.
- Providing feedback to staff about their work and contribution in a timely manner.
- Rewarding staff in a timely manner for innovative thinking and problem solving.
- Consciously building an attitude of praise rather than censoring and criticizing.
- Using the staff's strengths wisely.
- Working with staff and helping them develop areas in which they need to be stronger.
- Being a learner as well as a teacher, guide, and coach.
- Using the performance appraisal process to open a dialog with those they manage, help employees develop their potential, and keep performance in line with strategy and mission.
- Consciously promoting the values of the facility and department/agency and not tolerating communication or behavior intended to damage the facility or department.
- Treating all staff fairly and justly, as individuals worthy of respect.
- Treating offenders fairly and justly, as individuals worthy of respect.
- Making decisions that promote a good quality of life in regard to the six aspects of culture addressed by the Rubik's Cube® Model of Organizational Culture in chapter 1 (see pages 16–18).

Strategic management:

The way in which people make decisions and act on a daily basis, taking into account the organization's culture and internal environment, the external environments with which the organization interacts, and the strategic plan that directs the organization's work. People who manage strategically keep in mind how their behavior and decisions move the organization toward accomplishing its mission, vision, and strategic plan.

Strategic response:

An action or set of actions taken to deal with people and events that reflects the responder's understanding of the mission, vision, and goals of the organization, his/her responsibilities in achieving them, and the impact of his/her actions on the system now and in the future.

- Solving problems across departmental lines, considering the consequences for the whole facility rather than just their own area of work.
- Consciously monitoring, evaluating, and correcting the course of work when that is necessary.
- Managing their time to allow for strategic thinking and encouraging others to think strategically as well.
- Building a leadership community—that is, an environment that encourages the development of leadership throughout the facility.

What Is Strategic Response?

A response is strategic when it reflects the responder's understanding of the mission, vision, and goals of the organization, his/her responsibilities in achieving them, and the impact of his/her actions on the system now and in the future. Strategic response is a correlate of strategic management and planning. It requires understanding a situation, diagnosing its causes, responding to the causes as well as the symptoms, and seeing the consequences of the response on the culture and stakeholders (see chapter 3, page 30).

What makes a response strategic? How is such a response different from the way you usually handle a situation or make a decision? Consider the following example:

An officer is at work in a facility in which helping offenders address their offending behavior and lead responsible lives is a strategic priority. Uncharacteristically, an offender who has been making progress is abusive to a member of the staff, using threatening language. The standard operational response is to put the offender in segregation pending disciplinary action. The strategic response to accompany this standard procedure would be for the line officer also to refer the offender to his/her case officer, pointing out that the behavior in question is uncharacteristic. By seeking to discover the cause of the offender's lapse, staff might be able to help him/her reestablish good behavior and continue to make progress. If helping offenders act responsibly in the facility in preparation for leading a responsible life on release were not part of the facility's vision, the officer would likely see her/his proper response to be limited to control and security.

Note that in this example, the strategic response (explaining to the case officer that the offender's behavior was out of character) does not replace the standard operational response (placing the offender in segregation pending disciplinary action), but rather complements it. The overall security of the facility will be enhanced if the case officer can help the offender reestablish good behavior.

The term "strategic response" does not refer to a tactical response to an offender incident or to the actions of an emergency response team. Rather,

strategic responses are decisions made to remain true to your facility's mission and vision. Strategic management and response can have a positive impact on every aspect of your facility's work every day. Exhibit 6 presents additional examples of strategic management and response.

Responding strategically can be difficult because in times of crisis, our natural inclination is to respond in ways that are comfortable and familiar. Sometimes such responses are effective, but unique situations may require innovative responses that move the facility toward accomplishing its goals, mission, and vision.

Recall when you were learning to drive a car or ride a bicycle. At first, you were conscious of every move and everything around you. You probably were a bit cautious, unsure how far to turn the wheel, when to put on the brake, how fast you could go and still feel safe. Eventually, when you got the hang of it, you felt freer to go off on your own and became less conscious of your every move. Now there may be times when you drive from one place to another (especially along a familiar route such as between home and work) and wonder when you arrive how you got there.

The same holds true for learning to respond strategically. Staff may be cautious at first, concerned about making a mistake or about not having all the information they need. Because security is always the top priority, they

Strategic Thinking in Action

Keeping the Vision Clear

A facility had a vision of being an "opportunity facility." Everything was geared to providing offenders with opportunities to become constructive members of society, both while in the facility and while on release. One of the ways to accomplish this end in the prerelease program was to allow offenders occasional visits into the town nearby, in the company of facility staff, so that they could interact with people in stores, restaurants, etc. Without any notice, the government ordered a stop to these visits. That might have brought an end to the idea of having offenders interact with outsiders on a regular basis.

Because the facility staff had been engaged in strategic thinking, planning, and management, they had anticipated this might happen. At the same time they initiated the town visit program, they also began a program of bringing community people into the facility more often—for sports activities, discussions, and conversations with offenders. When the town visit program stopped, the facility increased opportunities for people to come into the facility. Family and friends spent a day of relaxation with offenders. Local press, including local television, came and interviewed offenders, especially those involved in special projects.

What is the purpose of this example? When a facility has a clear vision, staff find ways to accomplish it, even when a planned opportunity is denied. The staff could simply have retreated from the goal of interaction with the community. They chose, instead, to keep the vision clear and find other ways to accomplish it.

Thanks to Christopher Scott of Wolverhampton, England, for this example.

Exhibit 6. Examples of Strategic Management and Response

Following are examples of situations that present the opportunity to manage strategically—that is, to make decisions that lead to accomplishing the facility’s mission, vision, and goals in both the short and long term.

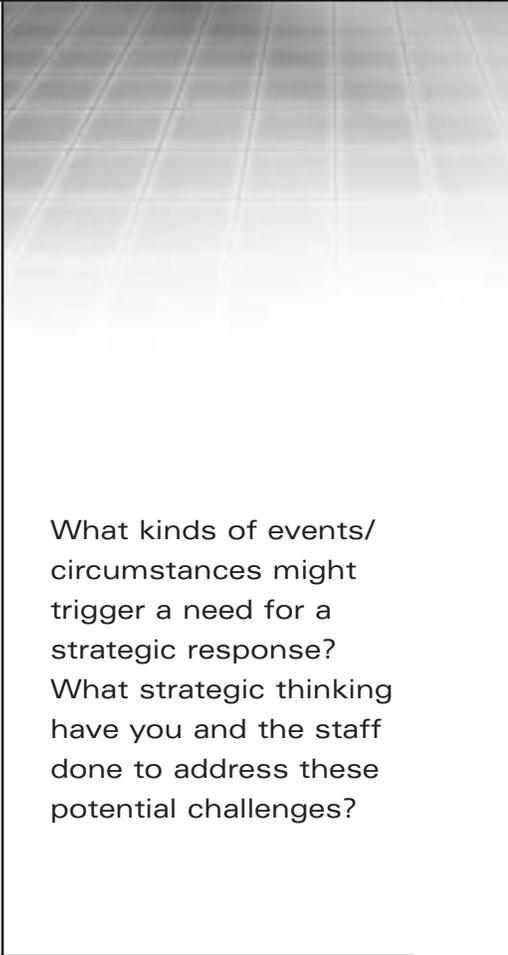
- Your facility determines it would be useful for offenders to have more personal responsibility for their behavior, yet there is a need to strengthen security arrangements for their free time. How you balance these apparently conflicting needs requires a strategic choice that likely has consequences beyond this decision.
 - Some of the staff are interested in implementing what Dora Schriro (2000) calls a “parallel universe” approach to give offenders opportunities to live more as they might when they leave the facility. Such an approach requires both strategic management and strategic response. In this “parallel universe,” staff must consider the long-term needs of offenders and the communities to which they may return but not allow these considerations to compromise facility security. The staff’s decisions about how to respond to offenders should give both them and the offenders incentives to look for new opportunities to make better day-to-day choices.
 - Assume you have a difficult relationship with the media. They are much more likely to write a negative story than they are to write about successes. As you look to the long term, you know this has the potential to be harmful to your program and, ultimately, to your funding. If you are thinking strategically, you work to cultivate ongoing positive relationships with the media, inviting them in whenever possible and making a commitment to keep them informed of what your facility is doing. When a negative incident occurs, you will then have a foundation for honest conversations with the media that can lead to more accurate and balanced coverage. The media also will be more likely to take advantage of opportunities you provide them to report on positive outcomes and successes.
 - Managers and supervisors want staff to see the whole picture of the facility, not just the arena in which they work. Security staff should understand and appreciate program staff, and vice versa. One state corrections agency accomplishes this by moving people laterally, from security to program or vice versa, before they are promoted vertically. In another state, a superintendent had the two deputy superintendents switch jobs so that each would learn the other’s work and other staff would learn how to relate to each deputy.
-

may be reluctant to take risks. They may need coaching, encouragement, and practice to develop the skills, knowledge, abilities, and attitudes needed to respond strategically instead of in the ways to which they have become accustomed.

When Might a Strategic Response Be Necessary?

Responding strategically should be a regular practice rather than a means of dealing with crises. However, the need for a strategic response is often felt most in a crisis event. According to the warden of one facility, strategic response is called for when an event requires a coordinated response across operational units and the outcome will have significant consequences for the organization. Examples include taking institutions off lockdown, planning for executions, responding to natural or manmade emergencies, and implementing staffing or schedule changes that are out of the ordinary. Exhibit 7 presents a partial list of the types of situations and incidents that might call for a strategic response. You can no doubt expand on this list.

Although correctional facilities are similar to other organizations in many ways, they are significantly different in others. One difference is that managers and staff in facilities must be aware of two distinct cultures within the same physical environment: that of the staff and that of the offenders. In facilities, managers must recognize not only the existence and influence



What kinds of events/ circumstances might trigger a need for a strategic response? What strategic thinking have you and the staff done to address these potential challenges?

Exhibit 7. Types of Issues Requiring a Strategic Response

Offenders	Staff and Management	External
<ul style="list-style-type: none"> ■ Assaults on offenders ■ Assaults on staff ■ Gang issues ■ Appeals ■ Executions ■ Overcrowding ■ Contagious diseases ■ Escapes ■ Suicides ■ Threats of disturbances ■ Disturbances ■ Civil rights/civil liberties lawsuits 	<ul style="list-style-type: none"> ■ Work slowdowns ■ Strikes ■ Change in leadership ■ Contagious diseases ■ Recruitment problems ■ Morale problems ■ Overcrowding ■ Significant increases in use of force ■ Staff change/turnover ■ Power outages ■ Contraband introduction ■ Physical plant breakdown 	<ul style="list-style-type: none"> ■ Natural disasters (floods, hurricanes, tornadoes, earthquakes) ■ Budget cuts ■ Budget enhancements ■ Damaging media reports ■ Community complaints ■ Audits ■ Court intervention ■ Advocacy group challenges ■ Media inquiries ■ Legislative inquiries/actions ■ Changes in central office requirements

of subcultures among the staff, but also the influence of the offender culture and its subcultures on the overall facility culture. Although many issues in a facility affect both staff and offenders (e.g., assaults, contagious diseases, natural disasters), the impact of such issues will be different for each group, and the responses of each group are likely to be quite different as well.

Positive Outcomes of Managing and Responding Strategically

Perhaps the true litmus test of a strategically managed facility is whether managers and staff are able to keep their eyes on their mission, vision, and goals even when disruptions occur within the offender culture. There will be disruptions. Such is the nature of life in a facility. The issue is not whether disruptions will occur, but whether staff will be able to keep in mind the short- and long-term consequences of their actions and decisions on all stakeholders when responding to disruptions.

People want to have a sense of control over their lives. In a facility setting, this can be a challenge. In a strategically managed facility, however, staff and, to the extent possible, offenders have opportunities to influence the decisions that affect them. Accordingly, they have a greater sense of having “a say” and less need to exert control in a negative, harsh manner.

When people think and act strategically, when managers and supervisors use all their resources and make decisions strategically, thoughtful decisions are more likely, crises are more easily avoided or their impact diminished, people are more clear about their role and responsibilities in the overall functioning of the facility, and shared goals are more easily achieved. How will you know that people in your facility are managing and responding strategically? The following positive outcomes are good indicators of strategic management and response. You may develop others that fit your facility’s context.

The facility is unified around a shared purpose.

- Managers and staff understand and are able to articulate the mission, vision, values, and goals of the facility in their own words, and they make these the foundation for all their decisions and actions.
- Managers and staff demonstrate a clear understanding of the value of their work in moving toward their shared vision in ways consistent with their mission and values.
- Managers and staff act with an understanding of the short- and long-term consequences of their actions on colleagues, offenders, and external stakeholders.
- Managers and staff accept responsibility for their own work. Individuals identify the skills they need to develop, the knowledge they need to acquire, and the practical resources necessary to accomplish these goals.
- Disputes are settled with the organization’s mission and goals in mind.

An ethic of teamwork prevails.

- People value each other and each other's contributions to the whole facility enterprise.
- More situations are handled by those who observe or are involved in them, rather than being pushed up the chain of command.
- Individuals and departments see the forest as well as the trees and collaborate for the well-being of the whole organization. Everyone shares a collective sense of responsibility.

Crises are fewer and better handled.

- Managers and staff identify strategic issues as they emerge and deal with them on a timely basis. There are fewer crises because more staff are able to anticipate potential problems and take the actions necessary to minimize the effects of those problems.
- "Knee-jerk" responses to crises decrease because there is more advance thinking about contingencies and options.

Communication is more open and constructive.

- Communication up and down the chain of command and between departments is more open.
- People share ideas and perspectives truthfully and confidently and speak up about issues and problems that concern them. There is more open debate and dialog and less "laying low."
- Meetings are more collaborative and constructive. Staff meetings include time for discussion of issues important to achieving the facility's mission, vision, and shared goals.
- Ideas about how to work more effectively and efficiently are shared throughout the organization.
- Managers provide timely feedback to staff about their accomplishments and suggest strategies for improvement.
- Staff receive ongoing updates about progress toward accomplishing strategic planning goals and participate in inclusive celebrations of these accomplishments.

The quality of life in the facility improves for everyone.

- Managers and staff are respectful, fair, and ethical in their communications and interactions with each other and with offenders.
- There are fewer incidents of discrimination, sexual misconduct, excessive use of force, and other staff misconduct because people understand that those behaviors are inconsistent with the facility's mission and values and know the consequences of such behavior.
- There are more creative, innovative approaches to offender programs and services and to staff development.

- Managers and staff value and actively seek the contributions that offenders can make to the success of the facility.
- Pride in the organization and in individuals' contributions to its success grows. Staff morale increases and stabilizes at a high level.

The facility enjoys a better relationship with the surrounding community.

- Interaction with community partners increases and these relationships become more positive.
- There are more positive media reports about the facility.

The Rubik's Cube® Model of Strategic Management® (Cube® model) is designed to help managers and staff in your facility achieve these results. In using the Cube® model, you will:

Strategic Thinking in Action

Building for the Future

The mission of the Facility Build Program of the Michigan Department of Corrections (DOC) is to assist Habitat for Humanity, units of government, and nonprofit organizations in providing housing and related products for low-income families through the use of offender labor.

The Facility Build Program educates and provides hands-on training for offenders in the building trades and horticulture industries. The offenders construct walls and other housing components; build entire homes; design and create interior products; and devise landscape plans and provide the needed horticulture products. They are linked to employers to find jobs and to aftercare programs to assist them in their reintegration after release from a facility.

All work by offenders is performed inside facility walls, and all material costs are paid for by the organization ordering products. Eighteen facilities currently participate in the program. The Saginaw Correctional Facility, operating under the authority of the Commission on Construction Codes, builds complete homes. To date, more than 435 homes have been built through this program.

Several partnerships have grown as a result of the program. The Michigan State Housing Development

Authority provides grant money to Habitat for Humanity of Michigan that is used to offset the cost of materials for construction and landscaping. Soldiers of the Army National Guard fulfill military obligations by transporting wall panels to Habitat construction sites. That partnership has saved Habitat more than \$125,000 in transportation costs. The Michigan DOC entered into an agreement with Habitat for construction work.

DOC's Facility Build Program is an effort to provide offenders certification in the building trades or horticulture while providing products to nonprofit housing groups for the cost of materials. The building trades curriculum was developed in conjunction with the state builders associations. The program's parameters for behavior are very strict: One slip and an offender is ejected from the program and not allowed to reenter. A few months before release, a qualified offender's "resume" is posted on a DOC Web site. Companies employing people with these skills can evaluate an offender as a potential employee and offer the offender a job before he/she is even released. This is an effort to reduce recidivism. A similar service will be available to those trained in horticulture when the program has been around long enough for offenders to complete training.

- Examine how managers and staff make decisions and solve problems.
- Determine how current policies, procedures, and practices facilitate or inhibit strategic responses.
- Discover how strategic thinking can improve the way the facility functions.
- Explore how managers and staff can use the strategic planning process to improve the efficiency and effectiveness of daily operations and move the facility toward achieving its mission, vision, and values.

The sets of questions that constitute the Cube® model are found in chapter 10. For guidelines on implementing the model in your facility, see chapter 11, “Using the Cube® Model of Strategic Management.”

Strategic Thinking in Action

To the tremendous positive response the Michigan DOC has received from its Habitat for Humanity affiliates has been added, unexpectedly, the offenders’ response. Ken Bensen, Habitat’s president in Michigan, hears incredible stories from participating offenders when he visits each correctional facility at the end of the building season. One young man, about 25, told how he did not realize a person could do anything for another person until he got involved with this program. It transformed his life, even if he never gets out of the facility. The offenders want to see the houses that “their” walls become. The ones who are nearing parole want to know how to find the Habitat affiliate nearest where they will be so that they can volunteer as soon as possible.

This program and the partnerships it has fostered provide win-win situations for the parties involved.

Habitat homeowners realize their dream of homeownership more quickly because the homes cost less. Habitat affiliates reduce their costs per home and the volunteer hours needed per project. The offenders gain a goal to work toward, a much-needed leg up when they are released, and an outlook adjustment that may benefit them more than the training they receive. The National Guard, which delivers the walls the offenders build, gains many training opportunities for its soldiers. Finally, the citizens of Michigan win on all fronts. The property tax base in Habitat communities is increased to the benefit of all residents, the overall quality of life is enhanced when families’ living conditions improve, Michigan National Guard members become well trained, and offender recidivism is reduced.

What is the purpose of this example? When the department and facility think strategically and have a clear vision, management and staff are open to innovative ways to serve offenders and their communities. When the administration’s and staff’s eyes are on reentry issues from the moment an offender arrives in the facility, staff can develop opportunities for offenders to develop personal and occupational skills that will be useful during their incarceration and when they return to the community.

Thanks to Michael Green, Coordinator of the Facility Build Program for the Michigan DOC, and Kathy Dykman, Program Director for Habitat for Humanity Michigan, for this example.

CHAPTER 10

Rubik's Cube® Model of Strategic Management®

Managing strategically is like solving Rubik's Cube®. The Cube® has six sides, each of which is a different color and made up of nine small squares, and an internal set of “gears” that allows the sides to be turned. When you turn one side of the Cube®, the configuration of colored squares on each of the six sides changes. Similarly, every response to every situation you encounter in your facility has consequences beyond that situation, the people involved, and the current reality. Every interaction with a staff person, offender, legislator, judge, central office person, victim, or member of an offender's or victim's family has repercussions for the future of your facility.

How Does the Cube® Model of Strategic Management Work?

This Cube® model associates a specific aspect of strategic management with each of the six sides of the Cube®, as shown in exhibits 8 and 9. Strategic thinking, which is needed for every aspect of strategic management, is associated with the “gears” at the core of the cube. The model provides a set of nine questions (reflecting the nine squares that constitute each side of the Cube®) for each of the six aspects of strategic management. Six teams—one for each side of the Cube®—are established to explore and respond to these questions. The model encourages involving staff from all shifts and all departments in this process. There is also a set of core questions on strategic thinking that all the teams can respond to. Options for working with the strategic thinking questions are discussed below (page 140) and in chapter 6 (see “Begin With the Core Questions,” page 93).

Each of the sets of questions below explores the overall purpose of the work of its side of the Cube®. You will notice that some questions appear on more than one side of the Cube® and there is some overlap in the work of the teams. This overlap is intentional. Some issues should be addressed by everyone involved in the process. At first glance, the model may seem complex. Please read through the questions to increase your understanding and clarify your purposes for embarking on this process.



For more information on the role of the teams, see “Stage 3: Plan and Hold the Kickoff Meeting” (pages 86–87) and “Hold Team Meetings” (pages 90–99) in chapter 6.

Tools To Help You With Your Work

The following tools provided in appendixes B and C may help you with your work:

Appendix B. Data-Gathering Tools:

- Looking at Our Current Reality.
- Collaboration Status Assessment.
- Strategic Management Assessment.

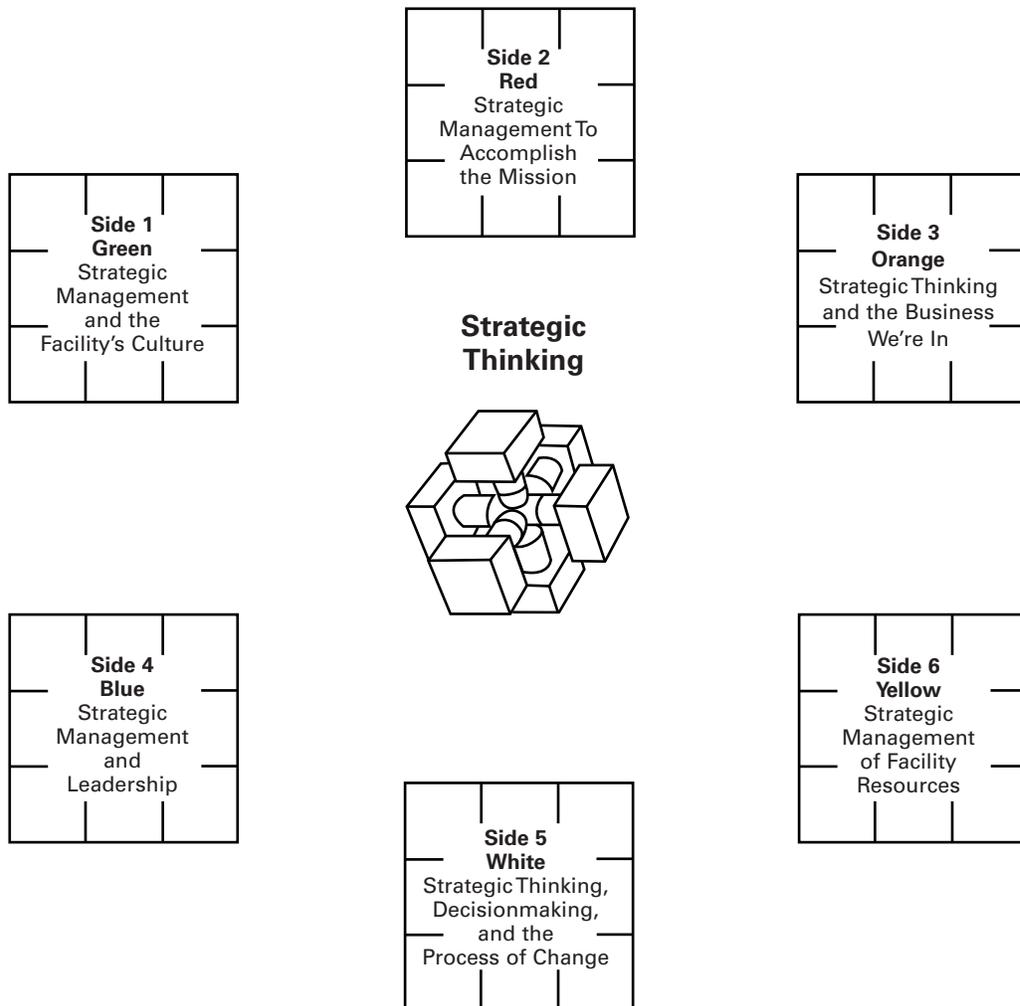
Exhibit 8. Strategic Management Model

Part of Process	Side/Color of Cube	Purpose
Strategic thinking	The gears: The core of the strategic management cube	Explore how strategic thinking can be incorporated into the daily operations of your facility.
Strategic management and the facility's culture	Side 1: Green	Examine the current culture and subcultures in your facility and how they influence management and decisionmaking.
Strategic management to accomplish the mission	Side 2: Red	Search for ways to ensure accomplishment of your facility's mission on a daily basis by focusing on the internal and external challenges and threats you might face and developing strategies to respond to them.
Strategic thinking and the business we're in	Side 3: Orange	Examine the work you do and how you do it in the context of your stakeholders and your vision.
Strategic management and leadership	Side 4: Blue	Examine your facility's formal and informal leadership and the management and supervision of staff and offenders with regard to the capacity to manage and respond strategically.
Strategic thinking, decisionmaking, and the process of change	Side 5: White	Consider what is necessary to begin and sustain the process of individual and organizational change that allows for strategic management and response throughout the facility.
Strategic management of facility resources	Side 6: Yellow	Examine your facility's use of all its resources and their capacity to contribute to the strategic management of the facility.

Appendix C. Planning Tools:

- Minutes of Our Team Meeting.
- Summary of Responses to Our Team's Questions.
- Strategic Management Timeline.
- Responsibility Chart.
- Change or Decision Checklist.

Exhibit 9. Diagram of Rubik's Cube® Model of Strategic Management®



Strategic Thinking: The Core of the Strategic Management Cube

The purpose of this work is to explore how strategic thinking can be incorporated into the daily operations of the facility.

Because strategic management requires all staff to think strategically, all of the teams should consider the core questions on strategic thinking. Each team can begin its work with these questions, or the process manager and team facilitators can meet to discuss the questions and then share their responses with their teams.

1. What does it mean to us to think, manage, and respond strategically, and what are the benefits for us and our facility?
2. How can we teach ourselves to think, manage, and respond strategically? How will we know we are accomplishing this?
3. How can we incorporate our facility's mission, vision, and values into our daily operations and interactions?
4. How can we reflect strategic thinking in our daily management of our facility and in our response to people and events?
5. How does strategic thinking challenge our management processes and styles and our daily work?
6. How can we encourage strategic thinking, management, and response in the facility, learning to learn together in the process?
7. How will thinking strategically affect the way we respond to internal and external challenges? What may make this easy or difficult for us? How do we overcome the difficulties and make best use of the aspects that will make it easy?
8. How can we ensure that we accomplish our facility's strategic plan?

Strategic Management and the Facility's Culture (Side 1: Green)

The purpose of your team's work is to examine the current culture and subcultures in your facility and how they influence management and decisionmaking.

1. What values, assumptions, and beliefs currently guide the way we manage and respond, and are they consistent with our mission, vision, and strategic plan? If the team used the *Organizational Culture Inventory*® (OCI) during the strategic planning process, also ask: What did we learn from this inventory? How can we best use that information to guide our work? (For more information about the OCI, see chapter 8, page 112, and appendix D.)
2. How do our policies, procedures, and organizational structure encourage managing and responding strategically? If they do not, what do we need to change and how can we do it?
3. How can managers and staff use information from the planning process on a regular basis, especially as it relates to influencing our culture?
4. What can we do to encourage/teach staff to consider the context of the whole facility and the agency/department when making decisions and to base decisions on our values?
5. What do we need to change in the way we manage and lead? How can we make the changes?
6. How can we learn more from our responses, successes, failures, and mistakes?
7. How do we encourage people (staff, volunteers, offenders, family members, and other stakeholders) to speak out without fear when they see a need and direction for change? If we do not, how can we change this?
8. How can we create/enhance a culture built on trust, thorough communication, and conflict resolution?
9. How can we balance the perceptions and needs of all stakeholders in the way we manage our facility?

Strategic Management To Accomplish the Mission (Side 2: Red)

The purpose of your team's work is to search for ways to ensure the accomplishment of your facility's mission on a daily basis by focusing on the internal and external challenges and threats you might face and developing strategic responses to them.

1. How can we use our strategic plan every day to guide our decisions toward accomplishing our mission and goals?
2. What do we have to do to position ourselves to be able to identify and respond to changes in our internal and external environments in a timely and strategic manner?
3. How can we use what we know about facility personnel, programs, services, and needs to guide our thinking and actions for the future?
4. How can we all learn to see changes that are necessary for success in accomplishing our mission and not be held back by the comfort of the status quo?
5. How can we take advantage of our opportunities and strengths to improve the work we do and how we do it?
6. What might threaten our ability to accomplish the facility's mission and goals?
7. What tactics will help us accomplish our mission and turn the threats and challenges into opportunities for success?
8. What conflicts might arise as we work toward accomplishing our mission? What processes can we put in place to address conflicts successfully? What skills do we need to develop?
9. What can we do to ensure ongoing thinking about and assessment of what we do and how we do it?

Strategic Thinking and the Business We're In (Side 3: Orange)

The purpose of your team's work is to examine the work you do and how you do it in the context of your stakeholders and your vision.

1. What is the nature of our business? What are the strategic issues we face?
2. Who are our consumers, customers, and stakeholders? What do we need to know about them? What information do we need to obtain from them?
3. How does our vision of the future affect the way we do our business and the services we provide our internal and external stakeholders?
4. How will the decisions we make either support or get in the way of our business? How can we deal with any potential conflicts?
5. How do we keep alive the process of discovery and innovation, building on our past work and the knowledge and experience of our personnel?
6. What do we have to change in the work we do and the ways we do it to be successful in our business?
7. How can we make those changes while maintaining a stable facility environment for staff and offenders?
8. How can we best address the concerns people may have about changes that might occur?
9. How do we build ongoing and continuous testing for quality in the work we do, the services we provide, and the ways in which we do both?

Strategic Management and Leadership (Side 4: Blue)

The purpose of your team's work is to examine your facility's formal and informal leadership and the management and supervision of staff and offenders with regard to the capacity to manage and respond strategically.

1. How do we define a successful facility? What accepted and high standards do we use as a benchmark for the way we treat those whom the courts have put in our care?
2. What are the values, assumptions, and beliefs of nonmanagerial staff, union leaders, and informal leaders that might either foster or inhibit strategic thinking and decisionmaking? How can we encourage the positive and eliminate or redirect the negative?
3. How do we define leadership? How can we build a leadership community (i.e., a facility in which staff at all levels feel responsible for decisionmaking and are aware of the potential consequences of their decisions with regard to accomplishing the mission)?
4. Which aspects of our management and supervision ensure continuous acknowledgement of effort and provide praise along with constructive criticism? How can we maintain these aspects? What do we need to change?
5. How can we use performance appraisals and ongoing job performance feedback to encourage strategic management and response throughout the facility?
6. What can we do to encourage and teach people at all levels of the facility to identify and discuss strategic issues and potential responses?
7. How do we build, maintain, and increase commitment to achieving our vision, mission, and work so that staff are always alert and morale is high? How can we deal effectively with processes that might limit our growth?
8. What role do we see for offenders in the strategic management of our facility?
9. Where can we find models of effective leadership and strategic response within our facility, throughout the agency/department, and among our stakeholders? How and what can they teach us?

Strategic Thinking, Decisionmaking, and the Process of Change (Side 5: White)

The purpose of your team's work is to consider what is necessary to begin and sustain the process of individual and organizational change that allows for strategic management and response throughout the facility.

1. How do managers and staff feel and think about the process of and need for change? What can we learn from our history regarding organizational change?
2. What do we have to change to accomplish our mission and vision, support our values, and become a strategically managed system?
3. How can we make changes deliberately, according to our plan, and within a reasonable timeframe, with commitment from the staff and respect for the strengths each person brings to the facility?
4. What competencies, skills, knowledge, and attitudes do staff need to be able to respond strategically to challenges and change? How can we help each person in the facility reach his/her potential so that each can contribute to the effective running of our facility?
5. What competencies and skills do we want to help offenders develop so that they can move toward habilitation, contribute to facility safety, and reenter the community?
6. How do we engage people in the process of and commitment to personal and organizational change? How will we know we have been successful?
7. What actions can we take easily, quickly, and successfully as we begin to move toward strategic management and response? How can we celebrate our successes?
8. What types of decisionmaking authority do we feel comfortable with at each level of the facility? How will we know when we have been successful in improving the quality of our decisions at all levels of the facility?
9. How can we gather, share, and use ideas throughout the facility in ways that foster strategic action?

Strategic Management of Facility Resources (Side 6: Yellow)

The purpose of your team's work is to examine your facility's use of all its resources and the capacity of these resources to contribute to the strategic management of the facility.

1. How can we enhance or build a collaborative environment in which roles and responsibilities are clear and people use teamwork and rely on each other's strengths in making decisions and accomplishing tasks?
2. How can we encourage and reward people for thinking innovatively and strategically while maintaining stability in the facility? What do we have to do differently?
3. How can we monitor and respond to unanticipated consequences of our plan?
4. How does our allocation of resources (e.g., staff, physical resources, and funds) reflect our mission, vision, and values and lead us toward accomplishing our strategic goals? What do we need to change and how will we do it? How will we know we have been successful?
5. How can we incorporate fiscal accountability into our management while not losing sight of our mission, the needs of offenders, the value of our staff, and the communities we serve?
6. How can we build in time for conversations about the facility's strategic direction and our capacity to respond to emerging needs?
7. How can we make sure that we are conscious of and adapt to changing priorities and external pressures?
8. How can we discover and use the skills and talents of all staff, some of which may be unknown to us, to accomplish our mission, vision, and goals?
9. What do we have to change in the way we evaluate management and staff to encourage the development of our human resources and improve our strategic leadership, management, and supervision throughout the facility?

Using the Cube® Model of Strategic Management

Like the Cube® Model of Strategic Planning, the Cube® Model of Strategic Management is a team-based approach. It requires six teams, each of which is responsible for addressing the questions for one side of the Cube®; a facilitator for each team; and a process manager to coordinate and monitor the work. The process is collaborative and inclusive. The composition of the teams should be as heterogeneous as possible, representing all departments, shifts, and personnel levels with diversity in age, race, gender, experience, years of service, leadership skills, learning styles, and level of engagement in the facility (see sidebar “Not Just for Managers” on next page). The teams meet to develop responses to their set of questions and also seek input from staff and other facility stakeholders. The team facilitators and process manager meet periodically. Communication about the work should be ongoing and facilitywide so that team members can get ideas from and give feedback to other staff members and, where appropriate, offenders.

The Cube® Model of Strategic Management is designed to complement the Cube® Model of Strategic Planning but can be just as useful whether your facility has a strategic plan created using another process or no plan at all. The downfall of many a strategic plan is the failure to recognize the importance of determining how to implement it on a daily basis as well as with a view toward the future. People often fail to be strategic in the way they manage, supervise, and engage in the routine practices of facility operations. The Cube® Model of Strategic Management provides staff an opportunity to think in new ways, consider how best to use their strategic plan—whatever its source—to effect all their decisions and actions, and reflect on how what they do every day affects the culture and security of the facility. The very act of engaging staff in teams to work on the strategic management Cube® may affect the way all staff do their work and the quality of the results they produce.



The very act of engaging staff in teams to work on the strategic management Cube® may affect the way all staff do their work and the quality of the results they produce.

Not Just for Managers

Strategic management and response are not just for managers. The Cube® Model of Strategic Management is based on the principles of building culture strategically introduced in chapter 3 and sees the activities of managing and responding strategically in the broad context of the facility's culture and as the responsibility of all staff. A fundamental premise of the model is that it is important to introduce the basic concepts of strategic thinking to all facility personnel (and perhaps offenders, where appropriate). If your work with the Cube® Model of Strategic Management is inclusive and collaborative in the ways described in chapter 6, all personnel will see that their ideas are valued and respected and will eventually learn to think and respond strategically, even if they are not formally involved in answering the model's questions. Moreover, the process will reinforce the staff's understanding that they each have a significant role in maintaining the security of the facility. Whether your facility already has a strategic plan or has decided not to create one, developing the staff's capacity to think, manage, and respond strategically will benefit the entire facility.

Organizing the Work

The interdependent nature of the two Cube® models gives you options for when and how you do the strategic management work. You can begin work on the management Cube® either during your strategic planning process or after you complete your strategic plan. You can create new teams for the strategic management work or use the teams already in place for the planning work. The implications of these options are discussed below.

Deciding When To Begin Your Strategic Management Work

Strategic management and response are closely aligned with strategic planning. Strategic thinking is at the heart of all three activities and is the core of both Cube® models. Beginning the work on strategic management and response during the planning process can help you capitalize on this interdependence. Indeed, strategic planning is most effective when it is accompanied and informed by strategic management.

A good argument can also be made for doing all the planning work first, sharing it with all staff for their education and feedback, and then beginning the work on the strategic management Cube®. The strategic planning process will expand the staff's capacity for strategic thinking and for participating in heterogeneous teams, which will help the strategic management work proceed more smoothly. Also, the clarity about the facility's mission, vision, values, and goals that comes from developing a strategic

plan will create a context for managing strategically. If you decide to complete the formal work of your strategic planning process before beginning work on the strategic management model, you may find that the process of developing your strategic plan has already brought about changes in management and response.

Your decision about whether to stagger the work of the two Cube® models or to tackle them sequentially will depend in part on staff size and capabilities and on available resources. Overlapping the work requires either constituting 12 teams (6 for each Cube® model)—an impracticable commitment of staff resources for some facilities—or asking one set of 6 teams to work on both models at the same time—a potentially overwhelming workload for team members.

Deciding Whether To Create New Teams

There are benefits both to creating new teams for the strategic management work and to using your planning teams for this work. Creating new teams gives more staff the opportunity to develop their capacity for leadership by engaging in the formal work of responding to the Cube® questions. Making the process more inclusive also ensures greater understanding of and commitment to strategic thinking, planning, management, and response throughout the facility. On the other hand, if your planning teams work well together, you might want to preserve that dynamic. Because the two Cube® models are complementary, the progression from the strategic planning work to the strategic management work may be smoother if you retain the existing teams. To promote inclusiveness, you can invite new staff to join the teams at the beginning of the second phase of work.

Guidelines for Implementation

If you have not worked with the Cube® Model of Strategic Planning, reading chapter 6 of this guide will give you a useful orientation to the Cube® model process. Chapters 7 and 8 provide strategies for establishing effective communications and guidelines for gathering data and monitoring your progress. Several of the data-gathering and planning tools discussed in chapter 8 can also be used for the strategic management work. For guidelines on using the “Strategic Management Assessment,” see the sidebar on the next page.

If your facility has used the Cube® Model of Strategic Planning, much of the groundwork you did in stages 1–3 of your planning process (see chapter 6, pages 72–90) will also be your foundation for implementing the strategic management model. The process described in “Stage 4: Hold Team Meetings” (chapter 6, pages 90–99) also applies to working with the strategic management Cube®. Finally, follow the guidelines given in “Stage 5: Draft and Finalize the Strategic Plan” (chapter 6, pages 99–102) to produce a strategic management report. This document should describe the process of your formal work with the strategic management model,

Using the Strategic Management Assessment

The “Strategic Management Assessment” form in appendix B is designed to help you gauge your facility’s capacity for strategic management and response. The statements in the checklist provide ideas about what to look for as strategic management and response come alive in the facility and can serve as a catalyst for improving your strategic management and response practices.

After your work on the strategic management model’s strategic thinking questions (the core questions—see chapter 10, page 140) has been under way for a few months, ask people from a variety of levels and departments in the facility to respond to the questions in the assessment form. Compile the responses for each stakeholder group as well as for all respondents to show both the range of responses and the average score for each question. Organize small groups to discuss the compiled responses and the strengths and weaknesses they highlight. To measure progress over time, readminister the assessment at regular intervals, perhaps every 6 months to 1 year. (See also chapter 8, “Measuring Your Work,” page 109.)

respond formally to the questions posed by the model, and spell out what it means to manage and respond strategically in your facility. In addition to the personnel specified in chapter 6, some administrators, managers, and supervisors should participate on the team that drafts the strategic management report.

When overlapping the work of the two Cube® models, complete the following pieces of the planning work before beginning the strategic management work:

- The preliminary steps of assessing your facility’s readiness for strategic planning, designating key personnel, setting up a communications plan, and gathering baseline data (stages 1 and 2; see chapter 6, pages 72–83).
- Planning and holding the kickoff meeting (stage 3; see chapter 6, pages 86–90).
- Ensuring coordination between and among the process manager and team facilitators (stage 4; see chapter 6, pages 90–99).
- Answering the first three sets of questions in the Cube® Model of Strategic Planning:
 - Strategic Thinking: The Core of the Strategic Planning Cube (chapter 5, page 55).
 - Setting the Stage (Side 1: Green) (chapter 5, pages 56–57).
 - Identifying Strategic Issues (Side 2: Red) (chapter 5, pages 58–59).

If you have used the Cube® Model of Strategic Planning but are forming new teams for the strategic management Cube®, hold a kickoff meeting to orient the members of the new teams. Ask the strategic planning process manager and at least one representative from each of the strategic planning teams (perhaps the team facilitators) to attend this meeting to share their experiences in developing their teams, coordinating the work among the teams, communicating with staff both to get input and to share their team's work, and, if the planning process has been completed, putting together the draft strategic plan. If the new teams are beginning their work during the planning process, also discuss how the six strategic planning teams and six strategic management teams will keep each other informed about their work. In addition to helping the new teams understand the Cube® model process, this meeting will give them the experience of staff teaching other staff, a key element of both Cube® models.

Outputs and Outcomes

As described above, the formal work of the strategic management process culminates in the creation of a report that summarizes the process and spells out what it means to manage and respond strategically in your facility. In the course of their work, your strategic management teams will also produce a range of interim products, many of which will be incorporated into the final report. Some examples of these interim products are listed below. You may arrive at others.

- A detailed explanation of how to use the strategic plan every day in diagnosing and solving problems and making decisions.
- Recommendations for training in strategic thinking, leadership, and strategic management and response for managers, supervisors, and staff, to prepare them for creating, sustaining, and dealing with change.
- A list of core values and beliefs that will guide managers, supervisors, and staff.
- Items published in a staff newsletter recognizing successful strategic responses.
- A short guide for managers and supervisors on how to manage strategically that would contain a section called "Lessons Learned."
- A list of strategic issues the facility faces.
- A recommendation to include items related to strategic management (for managers and supervisors) and response (for managers, supervisors, and staff) in the performance review process, and a list of such items.
- A recommendation to make use of National Institute of Corrections training and technical assistance resources.
- A written description of what will make this a successful, strategically managed facility for staff and offenders.

As staff and managers begin to think, plan, and manage strategically, they will develop new work patterns that will reshape your facility's management and response in the ways envisioned in your strategic planning process.

- A list of competencies all staff need in order to be able to diagnose situations and respond strategically.
- Recommendations about the kinds of teamwork and collaborative efforts that will help make the facility a learning organization (see page 34).
- Recommendations for improvements in offender programs and services consistent with the facility's mission.
- Recommendations for reallocation of resources to move toward achieving the mission and vision.
- An ongoing series of brief papers that focus on internal and external issues that might affect the facility's work.

Summary

The Cube® model of strategic management can take you in a variety of directions. As your teams work through their questions, they will initiate conversations with other staff to obtain their input and feedback. The verbal and written communication generated by the process will engage the whole facility in strategic thinking. As staff and managers begin to think, plan, and manage strategically, they will develop new work patterns that will reshape your facility's management and response in the ways envisioned in your strategic planning process.

AFTERWORD

Culture examination, strategic planning, and strategic management are not one-time projects. Strategic thinking and strategic response do not end with completion of your formal work with the Cube® Models of Strategic Planning and Strategic Management. Balancing the long-term interests of your facility and the short-term needs of staff, offenders, and others who are affected by the work you do is a daily challenge. The ultimate measure of the success of your work with the models presented in this guide will be your daily commitment to thinking, planning, managing, and responding strategically in the context of building culture—that is, with an understanding of current circumstances, the impact of all decisions and actions on the future, and the capacities you need in order to improve the quality of life in your facility for managers, staff, offenders, and other stakeholders.



Glossary



GLOSSARY

Although many of the terms used in this guide probably are familiar to you, they can have multiple meanings. The definitions in this glossary are offered in the interest of developing a common language for strategic planning, management, and response.

Action plan. A workplan that usually identifies tasks to be completed, dates for completing them, the person responsible for each task, the resources needed, and how results will be measured.

Benchmarking. An ongoing process that measures an organization's performance and compares it with the performance and best practices of similar organizations.

Capacity. The skill, knowledge, and willingness to do the work.

Connectors. Malcolm Gladwell's (2000) term for those in an organization who know many influential people and are able to bring them together to work for the common good.

Core competencies. Basic skills and approaches to work that all staff should display (see sidebar "Examples of Core Competencies" in chapter 8).

Default culture. The culture or subculture that emerges when people do not pay formal and conscious attention to what the culture is or needs to be.

Deliberate strategies. Patterns of action that arise from a formal planning process that sets the organization's direction.

Emergent strategies. New patterns of action that set new directions or establish new issues to be addressed. Emergent strategies may arise at any time.

External challenges. Challenges that originate outside an organization. Some of the external challenges confronting correctional facilities are the actions, decisions, or policies of the central office, legislature, Governor's office, courts, victims' rights organizations, facility volunteers, media, and the public.

Formal leaders. Those who have authority because of the position they hold.



Goal. A broad statement of action that helps to bring the mission statement to life by stating what needs to be accomplished. Goals derive from values and lead to setting objectives.

Informal leaders. People who are not in formal positions of authority yet wield influence within the organization. In corrections, informal leaders arise among staff and offenders.

Internal challenges. Challenges that originate within an organization. Some of the internal challenges confronting correctional facilities are inadequately trained staff, low morale, high rates of absenteeism and substance abuse, negative subcultures, and lack of planning.

Leadership community. The people throughout an organization who are willing and able to articulate a vision and strategy for action, motivate others to work together toward common goals, and deal successfully with operational problems and ongoing decisions.

Learning organization. An organization “where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together” (Senge, 1990: 3). Senge identifies five “disciplines” of a learning organization: *personal mastery*, *mental models*, *team learning*, *shared vision*, and *systems thinking* (see below).

Mavens. Malcolm Gladwell’s (2000) term for the people in an organization who are collectors of information and are eager and able to share that information. Mavens are information brokers.

Mental models. One of Senge’s five “disciplines” of a *learning organization* (see above). Mental models are the ideas and perceptions that shape the way people see their world. They are the “lenses” through which people see events and other people. An example of a mental model is the tendency to “see the glass” as either “half empty” or “half full.”

Mission. The statement of why an organization exists. Mission statements usually briefly address what the organization does, where and for whom it does it, and why.

Objectives. The elements of a plan of work that are SMART (specific, measurable, achievable, results oriented, and time defined). Objectives add specificity to the goal statements.

Organizational climate. The aspects of organizational culture that one can see, hear, and feel. An organization’s climate is the outward manifestation of its underlying culture (see *organizational culture* below). Some aspects of organizational climate are the way people make decisions and who makes them, the rituals people observe, the appearance of the physical plant, who the heroes and heroines are, and the stories people tell.

Organizational culture. The values, assumptions, and beliefs the people in an organization hold that drive the way they function in that organization. An organization's culture is the source of its climate (see *organizational climate* above).

Outcomes. Changes that take place as a result of the work being done.

Outputs. Products created by the work (e.g., lists, meeting minutes, and reports).

Performance measurement. Collection of *qualitative and quantitative data* (see below) to determine whether intended activities, outputs, or results have been achieved. Performance measurement is distinct from evaluation, which seeks to determine the reasons why something did or did not happen.

Personal mastery. One of Senge's five "disciplines" of a *learning organization* (see above). Aspiring to personal mastery means becoming the best one can be and helping others do the same.

Qualitative data. Any information that can be gathered that is not numerical in nature. Qualitative data are subjective (e.g., perceptions and opinions).

Quantitative data. Information that can be expressed in numerical terms, counted, or compared on a scale. Quantitative data are objective (e.g., the number of grievances filed, the percentage of increase/decrease in offender assaults).

Rubik's Cube®. A hand-held puzzle with six sides, each of a different color and made up of nine small squares, and an internal set of "gears" that allows the sides to be turned. Turning one side of the Cube® changes the configuration of colored squares on each of the six sides.

Salespeople. Malcolm Gladwell's (2000) term for the people in an organization who have the skills to persuade others to believe or act.

Shared vision. One of Senge's five "disciplines" of a *learning organization* (see above). Having a shared vision means holding a common understanding of the organization's purpose and future direction.

Stakeholders. People who care about, are affected by, or have a vested interest in the work an organization does. See sidebar "Stakeholders in Facility Strategic Planning" in chapter 1 for examples of internal and external stakeholders in corrections.

Strategic. In an organizational context, that which moves the organization toward accomplishing its mission, vision, and goals within the environments in which it functions.

Strategic issues. The fundamental and primary issues the organization must address to achieve its mission and vision.

Strategic management. The way in which people make decisions and act on a daily basis, taking into account the organization's culture and internal environment, the external environments with which the organization interacts, and the strategic plan that directs the organization's work. People who manage strategically keep in mind how their behavior and decisions move the organization toward accomplishing its mission, vision and strategic plan.

Strategic planning. The work an organization does to look at its current reality, design its future, and detail the most effective ways to achieve that future, in the context of its culture and internal environment and the external environments with which it interacts.

Strategic response. An action or set of actions taken to deal with people and events that reflect the responder's understanding of the mission, vision, and goals of the organization, his/her responsibilities in achieving them, and the impact of his/her actions on the system, now and in the future.

Strategic thinking. Thinking informed by a constant awareness of the context of the internal and external environments affecting one's choices; recognition of the consequences of one's decisions and actions in the short and long term; understanding of the connection between one's decisions and the achievement of the organization's mission, vision, values, and goals; and the conscious intent to take advantage of opportunities that present themselves and transform challenges into opportunities. Strategic thinking is a key component of *systems thinking* (see below).

Strategy. A set of decisions intended to move an organization toward achieving its mission, vision, and goals. Strategy is distinct from tactics (see below), although the two terms are sometimes used interchangeably.

Systems thinking. One of Senge's five "disciplines" of a *learning organization* (see above). People who practice systems thinking understand the interconnectedness of all aspects of the work environment. Their actions and decisions reflect their knowledge that what they do affects all others in their organization.

Tactics. Specific procedures and actions designed to secure the objectives set by strategy (see above).

Team learning. One of Senge's five "disciplines" of a *learning organization* (see above). Team learning encompasses the effort to learn how others learn, think through issues together, and share what is learned.

Value. A quality or end that a person or group desires. Values are related to matters such as governance, leadership and management, power, change, decisionmaking, responsibility to and for offenders, the relationship between security and treatment, and issues of gender, race, ethnic group, and religion (see sidebar "Examples of Value Statements" in chapter 8).

Vision. The ideal to which an organization strives.

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Appendix A

Frequently Asked Questions and Myths About Strategic Planning





Frequently Asked Questions and Myths About Strategic Planning

What's in it for me (WIIFM)?

Understandably, you may not be ready for change until you are convinced that it will address at least some of your concerns and needs. If you see something of value for you in the work of building culture and strategic planning, you will give as much as you can to it and get as much as you can from it. Following are some of the things you can expect from this work:

- **Opportunities to look at your facility in depth and participate in shaping its future.** You may see some of the longstanding issues affecting you and the facility finally addressed. You may have input into the decisions made about those issues. You may get more information. Ultimately, you may get to have more of a say in how the facility runs and how decisions are made.
- **Opportunities to get to know people with whom you have not worked closely.** You may come to understand better the work that others do and thereby gain a different perspective on both your role in the facility and theirs. You may see leaders in a new way. You may feel less isolated.
- **Renewed energy for your work.** You may develop a sense of shared direction and team spirit that you and your colleagues may not have experienced in the past or may have experienced and lost. You may feel more motivated to do your work, which may lead to greater success and satisfaction for you and the facility.

Strategic planning takes too long and costs too much.

You may wonder whether the time and other resources needed for this model of strategic planning will be more than you can afford and whether the impact of planning on the facility (i.e., on staff, offenders, programs and services, efficiency and effectiveness, external stakeholders, etc.) will

be worth the expenditure and effort. To answer these questions, ask yourself this: Without a clear vision, without all of us moving in the same direction, and without support from our stakeholders, how can we be and do our best? Planning can take as much or as little time as you allocate to it. When you plan well, however, the process can dramatically clarify your focus and save months, if not years, of wasted effort and resources.

Corrections is different. Things change so fast. How will we ever focus enough to do real strategic planning?

Although aspects of the facility's work and environment may be changing quickly, a great deal stays the same. As you plan, you may be able to institute some changes quickly while you continue to work on those that require more long-range thinking and planning. Every change and decision is an investment in the future of the facility and a reflection of the investment made by management and staff in strategic thinking. When the facility clearly defines its mission, vision, and goals and strategic thinking becomes part of everyday practice, strategic planning, management, and response become a dynamic, ongoing process.

Is the process more important than the plan?

In this model of strategic planning, both are important. You define your mission, vision, and goals and develop your plan for achieving them through a process of examining your facility's culture and determining whether and how you want to change it. When planning is an inclusive process that engages staff at all levels and celebrates small successful steps, people see that their input and feedback really matter. In turn, their commitment to both the planning process and the resulting strategic plan grows. The process creates the plan, and the plan, ideally, continues the process.

How can we do planning when we always seem to be facing some crisis?

If you are facing a short-term crisis, conversations about planning may have to be put on hold temporarily, but you should not suspend them indefinitely. Unexpected difficulties and urgent problems demand attention, but staying focused on the long term is even more important in times of crisis. Implementing the model of strategic planning presented in this guide can help your facility become less crisis driven and better equipped to handle the crises that do occur, because it is designed to help you make strategic thinking, management, and response everyday practices in the context of a positive culture and with full staff engagement.

Culture examination alone is a major effort. Why should we link it to planning, especially when our facility's culture has been this way for so long?

You can do strategic planning without looking at your facility's culture and can examine the culture without doing strategic planning, but these processes reinforce and support one another. How can the facility move forward if those who work in it do not share the same understanding of the purpose of their work and different standards for evaluating their success? How can the staff move forward together if there is no clear vision and mission to bring them together to work for common goals? How can you move successfully into the future when powerful subcultures in the facility are exerting a strong force to keep things as they always have been?

Strategic planning has had a negative reputation for a long time. How will we ever convince people this model is a useful new way to plan?

You may not be able to convince everyone at the beginning. In fact, you are likely to encounter many skeptics and doubters, some of whom have had negative experiences with what has been called strategic planning. Facility leaders (informal as well as formal) who value thinking, planning, managing, and responding strategically can engage other staff in the planning work by showing them how these processes can make a difference in their work lives. One of the most important steps in strategic planning is to identify and support your facility's leaders. They will set the tone, champion the work, and draw on the creativity of many others to energize the planning process. Moreover, this planning process incorporates culture examination throughout and leads to strategic management (neither of which is usually part of a planning process).

Central Office has always taken care of planning. We at the facility level just have to make the plan specific to our facility. Why should we take on more work?

You should not, unless you see tangible benefits for your facility's staff, offenders, and programs (see "What's in it for me (WIIFM)?" above). Engaging in the kind of team-based strategic planning described in this guide can improve the quality of life in your facility. Your strategic planning work can also influence the policies and practices of your department or agency in ways beneficial to other facilities as well as your own.

Appendix B

Data-Gathering Tools



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Initial Assessment of Need for Strategic Planning and Culture Examination

Use the following questions to begin thinking about your facility as it is now. Consider how they pertain to your facility.

- Do you have a great staff and good programs and want them to be better?
- Is morale low?
- Are managers managing effectively, thinking of the long term as well as the short term?
- Is the quality of life for staff and offenders as high as it could be/needs to be?
- Have you tapped into the leaders (formal and informal, staff and offenders) throughout the facility?
- Are staff treated justly, fairly, and with respect?
- Are offenders treated justly, fairly, and with respect?
- Do all staff understand their roles and responsibilities, not just for their own job, but in relation to the facility as a whole?
- Is there a clear vision for where the work should take staff and offenders and clarity about how to achieve it?
- Are there subcultures or groups that are powerful to the detriment of the facility overall?
- Are there persistent problems that the facility has not been able to solve?
- Are negative behaviors tolerated?
- Do the staff hold a common set of values that drive the way the facility functions? If yes, do these values move the facility toward a positive environment?
- Do the staff feel powerless?
- Do you have a less than collaborative relationship with the central office and other facilities in your department/agency?
- Do you need to establish more interdependent relationships among the departments in the facility?
- Do staff make decisions at the lowest level possible, where they need to be made, or do they push them up the chain of command?
- Are personnel afraid to take risks, speak out, offer new ideas, or identify staff who are not working up to their highest level?
- Do people know what is expected of them?
- Are rewards and praise offered to recognize people's contributions and good work?

Continued on next page.

Initial Assessment of Need for Strategic Planning and Culture Examination (continued)

- Do you need to reform the performance appraisal system?
- Have you had a mission change recently or are you expecting one?
- Do staff have a sense of “learned helplessness”?
- Does the facility have recently appointed leaders who need to learn about the facility in depth?
- Does the facility need to examine its programs and services to see if they really are meeting the offenders’ needs?
- Do you need to rethink reentry plans for offenders so that you begin preparing them for leaving as soon as they arrive and focus more attention on rehabilitation and reintegration?
- Do you need to redesign the facility’s relationship with the community?
- Do the staff need to rededicate themselves to the work?

Facility Strategic Planning Readiness Checklist

Please check the statements that are accurate for your facility.

Strategic Planning Readiness Factors

- We have a good understanding of and appreciation for strategic planning as a management tool in our facility and department.
- We have strong sponsors of strategic planning in our facility or central office management.
- We have strong champions of strategic planning on the staff of our facility.
- We are uncomfortable with our culture and know we need to change.
- Facility managers and staff are committed to making positive changes in our organization.
- Our leaders have the skills and commitment to support and sustain a strategic planning process.
- Our facility is currently under pressure from the outside to change (e.g., from the central office, other criminal justice agencies, the legislature, and/or the public).
- We have had positive experiences with planning efforts in the past.
- We have managers, supervisors, and/or other staff who are experienced in and comfortable with strategic thinking.
- As an organization, we have had positive experiences with multidisciplinary teamwork and problem solving.
- Strategic planning and management are part of our statutory and/or administrative mandate.
- We have, or can obtain, resources important to strategic planning tasks (e.g., relevant and accessible information; managers' commitment; staff time, energy, skills, and creativity; dedicated funding; and technical assistance).
- We have someone on staff who can manage the strategic planning process.
- Strategic planning will be tied to facility budgeting, management, and day-to-day operations.
- Strategic planning and management will have lasting value for our facility.
- We believe we have the capacity to change.

Overall Readiness Assessment

Based on the answers to the questions above, we should: (*Check only one.*)

- Proceed with strategic planning and management.
- Read this guide thoroughly and then determine if we are ready to proceed.

Continued on next page.

Facility Strategic Planning Readiness Checklist (continued)

- Figure out how to remedy the obstacles we identified, and then proceed.
- Request the National Institute of Corrections' (NIC) course "Promoting a Positive Corrections Culture." (This course is designed to help you assess your current culture and set the direction for potential culture change. For more information, visit NIC's Web site, www.nicic.org, or call 800-995-6423.)
- Consider what we might need to assist us in the process of culture change and contact NIC to see what assistance they can provide.
- Suspend our strategic planning efforts.

Note: Adapted from *Creating and Implementing Your Strategic Plan: A Workbook for Public and Nonprofit Organizations*, by John M. Bryson and Farnum K. Alston (New York: Jossey-Bass, 1996).

Sample Interview and Group Conversation Questions

- What song or movie title best describes your facility and why?
- How would you explain the facility's mission(s)?
- Do you think that everyone (administrators, managers, staff, agency policymakers, and the public) understands and agrees with the mission(s)? If not, why not? What else do they see the mission(s) to be?
- What is your perception of how other corrections professionals in your state view this facility?
- What resources and expertise have you brought to the facility? Have they been utilized? If so, how? If not, why not?
- What are your three areas of greatest satisfaction with the facility? What are your areas of greatest frustration with it?
- What suggestions do you have about how to make working at the facility more effective, rewarding, or inspiring?
- What do you see as the three most urgent concerns or challenges facing the facility in the next few years?
- What recommendations do you have about the facility's future directions and priorities?
- What obstacles to implementing these recommendations do you anticipate?
- What resources will be necessary to make progress toward the personal or organizational goals you have discussed (such as money, training, mentoring, technical assistance)?
- What else would you like to say about the facility?

Looking at Our Current Reality

You may want to use this table to summarize the four or five most important factors affecting your facility in each of the following areas:

- **Strengths:** Internal resources or capabilities that help your facility accomplish its mission (e.g., well-designed facilities, trained staff).
- **Challenges:** Internal deficits in resources that impede your facility’s progress toward goals (e.g., ineffective communications, inadequate staffing levels).
- **Opportunities:** Factors or circumstances external to your facility that can have favorable effects (e.g., federal grants or technical assistance).
- **Barriers:** External factors or circumstances that can have detrimental impacts (e.g., budget reductions, union/management conflict).

Within the Facility	External to the Facility
<p>Strengths</p>	<p>Opportunities</p>
<p>Challenges</p>	<p>Barriers</p>

Communications Assessment

Each participant in your planning process might complete this form.

Please indicate your current role:

Facility management
 Security staff
 Program staff
 Supervisor
 Other (please specify) _____

Please give your opinion of the quality of communications regarding your facility's strategic planning and management process by rating its characteristics on the 5-point scale below.

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1. I get thorough and timely information about the planning work.	1	2	3	4	5
2. Facility staff who are not directly involved in strategic planning are well informed about the process and products.	1	2	3	4	5
3. I am able to provide honest feedback to leadership about the strategic planning, management, and response process.	1	2	3	4	5
4. I receive regular and consistent updates about the accomplishments of our strategic planning and management process.	1	2	3	4	5
5. I know who is responsible for facilitywide communications about strategic planning and management.	1	2	3	4	5
6. The facility has a forum where I can get and give ideas about the strategic planning and management process.	1	2	3	4	5
7. I think that the public understands what we are trying to accomplish in our facility.	1	2	3	4	5
8. Leaders in the planning process welcome the involvement and input of others.	1	2	3	4	5
9. The written products of our planning process are useful to me in my day-to-day work.	1	2	3	4	5

Collaboration Status Assessment

Each team member should complete this form independently and anonymously. Please give your opinion of how your team is currently functioning by rating its characteristics on the 5-point scale below. Your team facilitator can compile the team members' responses to show the range of scores and average score for each statement.

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1. The goals of our team are clear.	1	2	3	4	5
2. People are actively engaged.	1	2	3	4	5
3. I understand what is expected of me as a team member.	1	2	3	4	5
4. Team members recognize the strengths and contributions of every member.	1	2	3	4	5
5. Our team has developed ground rules for how we will work together and how members will behave.	1	2	3	4	5
6. Our team's meetings are well organized and productive.	1	2	3	4	5
7. Every member is contributing as much as he/she can (time, resources, expertise) toward achieving the team's goals.	1	2	3	4	5
8. I feel I have a considerable amount of influence on what takes place at team meetings.	1	2	3	4	5
9. Team members listen to one another as colleagues.	1	2	3	4	5
10. When team meetings are over, each member is clear about what was agreed on and who is responsible for what tasks.	1	2	3	4	5
11. I understand the relationship of our team's work to that of the other teams and to the process as a whole.	1	2	3	4	5
12. We communicate often and effectively with nonteam staff.	1	2	3	4	5

Please add any comments you have about how your team is functioning.

Looking at Our Strategic Planning Process

Each participant in your planning process might complete this form.

Please indicate your current role:

_____ Facility management _____ Security staff _____ Program staff _____ Supervisor
 _____ Other (please specify) _____

Please give your opinion of how your facility's strategic planning process is currently functioning by rating its characteristics on the 5-point scale below.

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1. The goals of our strategic planning process are clear.	1	2	3	4	5
2. We are learning together how to improve the quality of life for our staff and offenders.	1	2	3	4	5
3. We have reached consensus on the priorities for change in our facility culture, programs, and policies.	1	2	3	4	5
4. The planning process includes representatives of all the important groups and constituencies in our facility.	1	2	3	4	5
5. I am committed to participating in strategic planning and the change initiatives that grow out of it.	1	2	3	4	5
6. Collaboration and teamwork among facility staff have improved since the strategic planning process began.	1	2	3	4	5
7. The results of strategic planning exceed my expectations.	1	2	3	4	5
8. Strategic planning has had positive impacts on my day-to-day work.	1	2	3	4	5
9. I understand what I can do to contribute to our strategic planning efforts.	1	2	3	4	5
10. I believe I am well informed about the activities and outcomes of our strategic planning process.	1	2	3	4	5

Continued on next page.

Looking at Our Strategic Planning Process (continued)

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
11. I understand the importance of measuring our performance and will participate in the process as needed.	1	2	3	4	5
12. Our strategic planning decisions have been based on sound and credible information and analyses.	1	2	3	4	5
13. Since strategic planning began, people understand more about the ways their decisions and actions affect others in our facility.	1	2	3	4	5
14. I believe that participating in strategic planning has enhanced my leadership skills.	1	2	3	4	5
15. I feel that my skills and expertise have been respected and utilized in developing our strategic plan.	1	2	3	4	5
16. Since strategic planning began, this facility is less crisis driven and more proactive in its management.	1	2	3	4	5
17. Strategic planning has had a positive impact on the scope and effectiveness of our programs and services for offenders.	1	2	3	4	5
18. Training opportunities for staff and managers have increased as a result of our strategic planning work.	1	2	3	4	5
19. I see more staff and managers applying strategic thinking to solve problems.	1	2	3	4	5

Please add any comments you have about the strategic planning process or its impacts.

Organizational Culture Discussion Guide

Select from among the following questions, and add your own, to initiate group discussions about your facility's culture at the start of the planning process. Also use this discussion guide at intervals during the process to see how your culture may be changing as a result of planning and managing strategically. Be sure someone takes notes about what the group discusses. Gather the information from all discussion groups, compile a brief report, and share it with all staff.

Leadership

- How is leadership being supported and developed throughout our facility?
- How do leaders encourage everyone in the organization to think creatively and strategically?

Training and Mentoring

- What opportunities do staff have for mentoring, coaching, and training?
- How do people support one another in developing and applying their skills and talents?

Communication

- How does communication flow throughout the facility? Does accurate information reach the people who need it in a timely manner? If not, why not?
- Are people more willing to speak their mind? If yes, why? If not, why not?
- Are people at all levels being asked for input on decisions that affect their work? If not, why not?
- When appropriate, how are offenders involved in making choices that affect their security and rehabilitation?

Personnel Practices

- Are performance appraisals fair and meaningful? If not, how would you describe them?
- Are rewards for constructive behavior timely and significant? How do we know?
- Is nonproductive behavior promptly recognized and dealt with fairly? How do we know?
- How is our process for resolving conflicts working?
- Do managers and staff in our facility value teamwork? How do we know they do or do not?

Shared Goals

- Do staff throughout the facility agree with the goals we want to achieve? If not, why not?
- Do staff agree on the values that will guide our actions and decisions? If not, why not?
- Does everyone understand and agree on the criteria we use to measure success? If not, why not?

Looking to the Future

- What ways do we have to recognize and celebrate our individual and collective accomplishments?
- What conditions do we need to create to ensure that we can successfully implement the changes we want to make?

Strategic Management Assessment

Each participant in your planning process might complete this form.

Please indicate your current role:

Facility management
 Security staff
 Program staff
 Supervisor
 Other (please specify) _____

Please give your opinion of how your facility’s strategic management process is functioning by rating its characteristics on the 5-point scale below.

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1. Managers and staff are making decisions with an eye toward the long-range impact of their choices.	1	2	3	4	5
2. Teamwork and collaboration are integral parts of how we do our work in this facility.	1	2	3	4	5
3. I can raise issues and express my opinions without fear of negative consequences.	1	2	3	4	5
4. People have learned how to ask questions that can lead to constructive change.	1	2	3	4	5
5. Creative strategies to resolve ongoing issues are emerging all the time.	1	2	3	4	5
6. People in this facility promote our shared values in communications and interactions.	1	2	3	4	5
7. I feel encouraged to develop my leadership skills.	1	2	3	4	5
8. Strategic management and response approaches have had a positive impact on my day-to-day work.	1	2	3	4	5
9. I think that facility managers and staff have become better at anticipating and responding to changing circumstances.	1	2	3	4	5
10. I feel supported in taking risks to respond in new ways to changing situations in this facility.	1	2	3	4	5

Continued on next page.

Strategic Management Assessment (continued)

	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
11. My views and opinions are solicited, respected, and taken into consideration by leaders who are developing change strategies for this facility.	1	2	3	4	5
12. Staff are informed of and can influence policy changes that will affect their work.	1	2	3	4	5
13. People routinely share ideas about how to work together more effectively and efficiently.	1	2	3	4	5
14. The goals of our strategic plan are being realized in our day-to-day operations.	1	2	3	4	5
15. People respect and value the contributions of offenders to the security and well-being of this facility.	1	2	3	4	5

Please add any comments you have about how strategic management is currently working in the facility.

Appendix C

Planning Tools



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Minutes of Our Team Meeting

Team Color/Side of Cube®: _____ Date: _____

Topics Discussed/Questions We Answered:

Decisions We Reached/Questions We Have:

Ideas for Communicating With Staff:

Continued on next page.

Minutes of Our Team Meeting (continued)

What We Need From/Want To Share With Other Teams:

Additional Items:

Next Tasks/Who Is Responsible for Doing What?/Next Meeting Date, Time, and Location:

Summary of Responses to Our Team's Questions

Team Color/Side of Cube®: _____

The Question:

Key Issues Identified From All Respondents:

Highlights of the Team's Discussion:

Recommendations for What To Include in the Strategic Plan:

Change or Decision Checklist

This form can be used as a guide for implementing decisions and/or changes. Attach additional pages as needed, to document what has been done to implement the change/decision process.

Date Completed	Item	Notes
	I. Reason for Change	
	A. List current procedure.	
	B. Explain why a change is needed.	
	C. Discuss proposed change or decision.	
	D. Specify desired result.	
	1. Describe how you measure result.	
	2. Indicate how result fits with values, attitudes, beliefs, etc.	
	II. Proposed Change or Decision	
	A. Indicate level at which this change and/or decision needs to be made.	
	B. Explain who (which stakeholders) will be affected by the decision.	
	1. Describe how they will be affected.	
	2. Illustrate how you measure results.	

Continued on next page.

Change or Decision Checklist (continued)

Date Completed	Item	Notes
	C. Discuss proposed changes or decision and get feedback from all stakeholders involved.	
	D. List the resources that are needed:	
	1. Materials	
	2. Staff	
	a. Training needed?	
	b. Communication?	
	3. Other	
III. Planning and Implementation Process		
	A. Specify date for beginning of decision and/or change.	
	B. Indicate who can help you sell the decision/change to others.	
	C. List implementation steps and dates.	

Continued on next page.

Change or Decision Checklist (continued)

Date Completed	Item	Notes
	IV. Results Measurement	
	A. Explain money saved.	
	B. Describe efficiencies achieved.	
	C. Illustrate meeting of goals.	
	D. Discuss results with all stakeholders who are involved.	
	E. Describe what you have learned for future decision-making and/or changes.	

Thanks to Ron Edwards of the Westville Correctional Facility in Indiana for providing this checklist.

Appendix D

Guidelines for Using the *Organizational Culture Inventory*[®]



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APPENDIX D

Guidelines for Using the *Organizational Culture Inventory*[®]

The *Organizational Culture Inventory*[®] (OCI) is a survey that was developed by Human Synergistics[®] International in the 1980s. It obtains a picture of an organization's culture indirectly by measuring the behavioral norms and expectations associated with the shared beliefs and values held by the people in the organization. The OCI does not look at the individual values or behaviors of the person completing the inventory. Rather, it looks at his/her understanding of the behaviors expected by the organization—that is, how the person thinks he/she should behave to fit in.

The OCI is recognized as one of the most widely used and thoroughly researched organizational surveys in the world. Prototypes of the survey were completed by more than 20,000 people in various organizations. The survey has been used by the Federal Aviation Administration, the U.S. Navy, international companies, colleges and universities, volunteer organizations, and in studies that Human Synergistics International has conducted with a number of companies. It was used in this author's work on culture with the Pennsylvania Department of Corrections and with numerous individual facilities and departments of corrections, as well as community corrections agencies, around the country. The National Institute of Corrections uses the OCI in its course "Promoting a Positive Corrections Culture" and in the culture assessments it conducts for facilities on request.

This appendix provides basic information about the OCI and directions for administering, scoring, and processing the inventory. For more detailed information on the OCI, see the *Organizational Culture Inventory*[®] *Interpretation & Development Guide* (Szumal, 2003). To obtain copies of the inventory or the *Interpretation & Development Guide*, visit the Human Synergistics[®] International Web site at www.humansynergistics.com.



Basic Information About the OCI Circumplex/“Clock”

The OCI circumplex (hereafter referred to as the OCI “clock”) represents the organization’s culture. The 12 segments of the clock are named for types of behavior: Approval, Conventional, Dependent, Avoidance, Oppositional, Power, Competitive, Perfectionistic, Achievement, Self-Actualizing, Humanistic-Encouraging, and Affiliative (from 3 o’clock to 2 o’clock). These behavioral styles are grouped according to their overall characteristics, as follows¹:

- **Passive/Defensive Styles (3 o’clock to 6 o’clock):** These behavioral styles (Approval, Conventional, Dependent, and Avoidance) indicate the extent to which people are expected to seek approval, act cautiously, not take risks, not rock the boat, and avoid situations that might result in or lead to conflict. In Passive/Defensive cultures, people believe they must interact with others in defensive ways that will not threaten their own security. The emphasis is on concern for what other people are doing.
- **Aggressive/Defensive Styles (7 o’clock to 10 o’clock):** These behavioral styles (Oppositional, Power, Competitive, and Perfectionistic) indicate the extent to which people are expected to fight other people’s ideas and resist change, exercise power and try to limit other people’s power, be competitive, point out others’ mistakes, and work to never make mistakes. In Aggressive/Defensive cultures, people are expected to approach tasks in forceful ways to protect their status and security. The emphasis is on accomplishing the work.
- **Constructive Styles (11 o’clock to 2 o’clock):** These behavioral styles (Achievement, Self-Actualizing, Humanistic-Encouraging, and Self-Actualizing) indicate the extent to which people are expected to achieve their potential, do their best work, be kind and encouraging to others, and operate with a team spirit that encourages a sense of belonging. In Constructive cultures, people are encouraged to interact with others and approach tasks in ways that will help them to meet their higher-order satisfaction needs. The emphasis is on creating satisfaction in the work environment.

As shown by the labels surrounding the perimeter of the clock, the location of each behavioral style reflects the extent to which it emphasizes concern for either **people or tasks** and leads to meeting either **satisfaction needs or security needs**. You may recognize some of the terminology of the OCI clock as being similar to that of Abraham Maslow’s Hierarchy of Needs.

¹ From *Organizational Culture Inventory*®, by R.A. Cooke and J.C. Lafferty (Plymouth, MI: Human Synergetics® International, 1983, 1986, 1987, 1989). Copyright 1989 by Human Synergetics® International. Adapted by permission.

Interpreting the Clock

The OCI clock gives an organization a road map for how to bring about change. If an organization's baseline clock is dominated by behavioral styles it views as undesirable, the organization can focus on how to decrease those behaviors and increase the behaviors associated with the type of culture it wants to develop. Some segments of the clock are in inverse relationship to the segment opposite them. So, for example, if people determine that they need to increase the organization's 1 o'clock score, they can look for ways to encourage 1 o'clock behaviors and discourage 7 o'clock behaviors. An organization can also use the OCI to measure the success of initiatives for changing its culture by readministering the inventory at regular intervals (perhaps every 6 months).

Cultures can be strong and homogeneous, and they can be weak and varied. That is, people may see the culture in similar ways (their patterns will look alike) or very differently (their patterns will not look alike). Having staff from all strata and departments of the same facility complete the inventory leads to interesting conversation.

Percentile Scoring

The concentric circles inside the clock represent percentiles that show how the participant's scores relate to those in Human Synergetics' research databank of people who have completed the inventory (a data set of almost 4,000 people; see the pie-shaped insert on the page of the inventory that contains the clock). For example, a score of 39 on 12 o'clock is in the 75th percentile, meaning this person's score is higher than that of approximately 75 percent of the people whose scores are in Human Synergetics' research databank.

Directions for Administering the Inventory

Identify a random sample of personnel from all departments, shifts, and levels of the facility hierarchy. Administer the OCI to these people in small groups—perhaps 20 people per group—so as to minimize the impact on the facility with regard to staff coverage.

Orientation

Before administering the OCI, present some background on the inventory (see above) and discuss why examining organizational culture is important:

- Culture examination looks beyond what happens in a facility for an explanation of why things happen as they do.
- Exploring the values, assumptions, and beliefs that create a facility's culture reveals the complexity of the forces at work in the facility.
- Understanding culture leads the way to meaningful and significant change.

Cultures can be strong and homogeneous, and they can be weak and varied. Having staff from all strata and departments of the same facility complete the inventory leads to interesting conversation.

Explain how you will use the information gathered from this administration of the OCI (e.g., gathering baseline data about the facility's culture or measuring the progress or outcome of your planning work; see the sidebar "Using the *Organizational Culture Inventory*[®]" in chapter 8, page 112).

Instructions to Participants

When you have finished the orientation, explain how to complete the inventory:

- Read the directions at the top of the inventory aloud, asking participants to follow along on their own copies.
- Tell participants to press hard with their pen or pencil because they will be making a copy as they answer the questions; that is, their responses will come through on another sheet below.
- Suggest that participants work quickly and go with their first response to a question rather than thinking it over. Explain that their answers should not reflect their personal values, beliefs, and actions or the way *they* think things should be. Further explain that they should not base their answers on what supervisors or coworkers say is expected of them. **Rather, their answers should reflect their perceptions of how things really are in the facility and how they think people need to behave in their facility in order to fit in.**
- Ask participants to respond in terms of the facility as a whole, unless you are using the OCI to obtain information about a specific department or unit.
- Call participants' attention to the rating scale. The OCI uses a scale of 1 to 5, where a response of 1 indicates that the statement does not fit the facility at all and a response of 5 indicates that it describes the facility to a very great extent.
- Tell participants they can look at the questions on the back of the inventory if they wish but do not have to respond to them. Responses to these questions are not factored into their inventory scores.
- Remind participants to answer in terms of **what is really expected**, not how they think things should be or what people say should be expected. Emphasize that the survey is about the facility, not individuals.

For the most part, stay out of the way while the participants are working on the inventory. You can offer to explain the directions again if anyone has questions and remind the participants once or twice to answer in terms of the **behaviors they think are expected of them** in order to fit in to the facility—i.e., **remind them that the inventory is not about them**. Make sure that no one starts the scoring process before everyone has completed the survey.

Scoring the Inventory

The OCI is self-scored. Begin the scoring process when everyone has completed the inventory.

- Direct the participants to open the inventory to the statements they responded to. The OCI clock should be on the facing page.
- Ask them to sum the numbers in the first of the six step-shaped areas shaded in gray and record the total in the small white square inside it marked 7 o'clock. Repeat this procedure for each of the five remaining gray scoring areas.
- Ask participants to sum the numbers in the first step-shaped white area and record the total in the small white square inside it marked 3 o'clock. Repeat this procedure for each of the five remaining white scoring areas.
- After the participants have calculated their scores for the 12 segments of the clock, distribute a copy of the Group Composite Score Sheet in this appendix to each table of participants and ask everyone to record his/her score for each clock segment. Another way to collect the scores is to have one person at each table record them as each person at the table reads his/her score aloud. Make sure everyone understands that the scoring is anonymous and that they should not write their name next to their scores. If you intend to analyze the inventory results by shift or department, you can ask the participants to note this information next to their scores.

How you proceed after the group has finished scoring their inventories depends on your purpose in using the OCI. Administering the OCI is part of the recommended agenda for the 2-day meeting that kicks off the work of the planning teams (see appendix E), and the agenda for that meeting also provides time for group processing of the inventory results. The next section of this appendix presents detailed guidelines for working with the OCI results during the kickoff meeting. When using the OCI in the preliminary stages of planning (assessment of your readiness for strategic planning or collecting baseline data) or in monitoring the progress of your work, the recommended guidelines are as follows:

Assessing your readiness for strategic planning/collecting baseline data:

- Ask participants to write a code name or number that they can easily remember on the front cover of the inventory to ensure their anonymity. Explain that you will return their inventories to them at a followup meeting to discuss both their inventory results and the results for the facility.
- Collect the participants' inventories and all Group Composite Score Sheets.

- Use the Facility Composite Score Sheet in this appendix to compile the scores of each group that completes the inventory at this stage. Sum the scores and calculate the average score for each clock segment. Use the average scores to create a composite OCI clock for the facility.
- As soon as possible after the 2-day meeting that formally kicks off your planning process, bring the staff who completed the OCI back together in their original groups. Return their inventories to them and show them how to plot their scores on the OCI clock in the “Organizational Culture Profile” section of the inventory. Explain how to interpret their inventory results. (See “Guidelines for Processing the OCI During the Kickoff Meeting” below for detailed guidance on these steps.) Show the group the composite OCI clock derived from the responses of all groups in the facility who completed the inventory at this stage and the composite clock of the participants in the kickoff meeting.

Monitoring the impact of your planning work on the facility:

- Collect the participants’ inventories and all Group Composite Score Sheets.
- Tell participants that the composite results of this round of OCIs will be reported to all staff in the facility after all scores are compiled.
- Use the Facility Composite Score Sheet to compile the scores of each group that completes the inventory at this stage. Sum the scores and calculate the average score for each clock segment. Use the average scores to create a composite OCI clock for the facility.
- Report the composite results to all staff using the mechanisms established in your communications plan (e.g., facility newsletter, internal e-mail, staff meetings, roll call).

In the early stages of planning, the OCI can be a useful introduction to the concept of organizational culture as well as a source of information on your facility’s current culture. Bringing staff back together in their original groups to receive their own inventory results and see the facility and kickoff meeting composite clocks provides an opportunity for them to discuss the facility’s culture. However, these followup meetings should be delayed until after the kickoff meeting to avoid biasing the OCI responses of the kickoff meeting participants. When using the OCI in the later stages of planning to monitor the impact of your work on the facility, reporting the composite results back to the staff is sufficient.

Guidelines for Processing the OCI During the Kickoff Meeting

To process the OCI in the kickoff meeting or other group situation, follow the guidelines below.

Complete the OCI Clock

Continue the scoring process by having the participants complete the OCI clock included in their inventories:

- When most participants have finished totaling their scores, call their attention to the front easel and draw the OCI clock shown in the inventory. Ask participants to draw a line across the 1 o'clock segment at the place that represents their score for that piece of the clock. Demonstrate this on the "clock" you have drawn on the easel.
- Ask participants to repeat this process until they have recorded their scores on all 12 parts of the clock.
- When everyone has finished recording their scores on the clock, ask them to use their pens, markers, or crayons to color in the clock from the line representing their score down to the center. Make sure everyone understands that they are to fill in the space from their scores down to the center of the clock, not up to the outside.
- When everyone has finished coloring, ask the participants to stand with their clocks. Designate an area of the room as 11 o'clock and ask all those whose 11 o'clock segment extends farther from the center than any other segment to come together in a group there. Do the same for the other 11 segments of the clock in sequence. Ask everyone to take a good look at how people are distributed.
- Repeat the process, asking people to move to the part of their clock that is the closest to the center. When all have moved, ask them to look at how they are distributed.
- When everyone has had a chance to see the others' results, ask them to return to their seats so that you can discuss what their scores mean. Mention that there is some detail about each piece of the "clock" in the handouts of the PowerPoint slides you will provide.

Discuss the Results of the Inventory

Begin with a general explanation about how to interpret the inventory. Slides 21–25 of the kickoff meeting PowerPoint presentation (appendix F) are devoted to the OCI (see also "Basic Information About the OCI Circumplex/'Clock'" above). Distribute as a handout "Outcomes Associated With Each Piece of the Clock," which is found at the end of this appendix. Allow participants some time to look through and reflect on both handouts and then ask them whether they have any questions or comments.

Tip: Walk around as the participants are coloring so that you can begin to see their patterns. Feel free to make some light conversation as you go.

Discuss the importance of seeing the patterns (if they exist) on each person's inventory. Explain that a circular clock pattern (i.e., relatively even shading around the clock) is an indication that the culture is unclear. This may mean staff are confused about how to behave in the facility. A more irregular pattern (e.g., segments 3–6 are all extended far out from the center or segments 11–2 are all close in to the center) shows that the respondent sees the culture more clearly—not necessarily “correctly,” just clearly. Mention that the group will want to see whether these types of patterns emerge on the group's composite clock, which you will show them later.

Next, conduct a conversation based on the following questions:

- What in your inventory scores surprises you?
- What in your inventory scores does not surprise you?
- How do your leadership and management styles reflect the culture and vice versa?
- Have there been times when the culture might have looked different? What was different then? How and why did things change?
- What do you see that suggests what you and others in your facility can begin to work on right away?

Discuss the Composite Clock

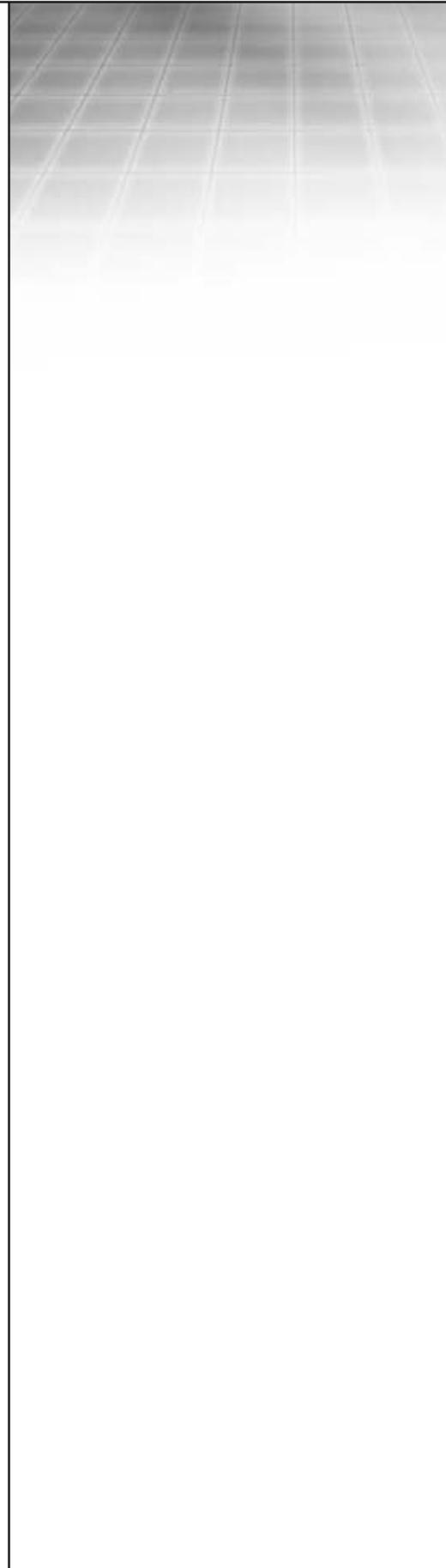
Creating a composite clock is a key step in processing the OCI because it provides a dramatic picture of how the group as a whole sees the culture of their facility. After you collect all the Group Composite Score Sheets, have an assistant (perhaps a cofacilitator) tally all scores collected and use the average scores to create a composite clock for the entire group. (You can transfer the totals from each Group Composite Score Sheet to the Facility Composite Score Sheet and use that sheet to calculate the average scores for the entire group if you wish.)

After the participants have discussed their inventory results, draw the group's composite clock on easel paper, following the instructions given above for completing the individual clock, and discuss it with the group. Emphasize what you see that is important. For example, you might focus on whether there is a pattern to the responses and, if so, what the pattern suggests. You might comment on particular segments of the clock that provide valuable information about how the participants have described their culture.

If you administered the OCI to a random sample of staff as part of your assessment of your facility's readiness for strategic planning or in collecting baseline data, show the kickoff meeting participants the composite OCI clock derived from the responses of those staff. Do this only after you have discussed the kickoff meeting composite clock, so as not to influence the

thinking of meeting participants. Both similarities and differences between the two composite clocks provide valuable information as the strategic planning process moves forward.

After your discussion of the composite clocks, hang both on the wall for the remainder of the meeting.



***Organizational Culture Inventory*[®]** **Group Composite Score Sheet**

Group Number: _____ **Facility:** _____ **Date:** _____

Record your scores for each clock segment on one of the lines below. **Note that the columns are not in clock sequence.** Do not write your name next to your scores. Your facilitator will use the average score for each clock segment to create a composite clock for your group.

Person	Score											
	1 o'clock	3 o'clock	5 o'clock	7 o'clock	9 o'clock	11 o'clock	2 o'clock	4 o'clock	6 o'clock	8 o'clock	10 o'clock	12 o'clock
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
Total												

Organizational Culture Inventory® Facility Composite Score Sheet

Facility: _____ **Date:** _____

Record the total scores of each group that completed the inventory. **Note that the columns are not in clock sequence.** Use the average of these scores to create a composite OCI clock for your facility.

Group	Score											
	1 o'clock	3 o'clock	5 o'clock	7 o'clock	9 o'clock	11 o'clock	2 o'clock	4 o'clock	6 o'clock	8 o'clock	10 o'clock	12 o'clock
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
15												
16												
17												
18												
19												
20												
Total												
Average												

Outcomes Associated With Each Piece of the Clock

Passive/Defensive Styles

3 o’Clock: Approval

- People tend to be uncomfortable with their roles.
- They do things to please others, not themselves.
- People experience some quiet frustration, although the place seems pleasant enough.
- People are highly responsive to others’ requests.
- People jump from one thing to another and lose sight of long-term goals.
- People are somewhat motivated, although they do not work to their highest potential.
- On the surface, problems appear to be minimal because people feel like they just have to live with what may be wrong.

4 o’Clock: Conventional

- People who view the culture as rigid and constraining do not see the organization as a good place to work.
- There are lots of rules, some of which may even conflict with others, and this has an impact on the level of satisfaction.
- People perform tasks in a predictable and consistent manner.
- Some people find it hard to conform and feel like they do not really fit in; others like the structure and predictability and get promoted.
- People may have to follow rules that are inapplicable.
- People probably have little influence in problem solving.
- People are not motivated to be creative or innovative.

5 o’Clock: Dependent

- There is often conflict between people’s own style and that of the organization.
- These conflicts can lead to stress, absenteeism, and turnover.

Sources: Robert A. Cooke and J. Clayton Lafferty, *Organizational Culture Inventory*[®], Plymouth, MI: Human Synergistics[®] International, 1989, and Janet L. Szumal, *Organizational Culture Inventory[®] Interpretation & Development Guide*, Plymouth, MI: Human Synergistics[®] International, 2003. Copyright © by Human Synergistics[®] International. Adapted by permission.

- Some people like this sort of organization and feel secure in it.
- People cannot influence upper management, resist the influence attempts of superiors, and reduce managers' real control.

6 o'Clock: Avoidance

- People do not find their work satisfying.
- People are not motivated to set goals, seek promotions, or stay long. Why? They do not want additional responsibility and they have little to gain by accepting it.
- People get inconsistent messages about what is expected.
- People in management tend to change directions to cover mistakes.
- Sometimes people think the best answer to conflicting orders is to do nothing.
- Stress is high because people often feel they do not fit in.

Aggressive/Defensive Styles

7 o'Clock: Oppositional

- Major outcome is role conflict.
- People get inconsistent messages.
- People are encouraged to oppose each other.
- People have to think and behave differently at work than when they are away from work.
- There is a lack of cooperation, which may lead to poor coordination.
- There is a lack of constructive disagreement and exchange of ideas.

8 o'Clock: Power

- People are more concerned with maintaining control than with cooperation and problem solving.
- Teamwork is minimal.
- Problem solving in groups is likely ineffective.
- People are unable to contribute expertise, which reduces the quality of the decisions and people's feeling of ownership of decisions.

Sources: Robert A. Cooke and J. Clayton Lafferty, *Organizational Culture Inventory*[®], Plymouth, MI: Human Synergistics[®] International, 1989, and Janet L. Szumal, *Organizational Culture Inventory*[®] *Interpretation & Development Guide*, Plymouth, MI: Human Synergistics[®] International, 2003. Copyright © by Human Synergistics[®] International. Adapted by permission.

- People at all levels believe they should be giving orders.
- There is a great deal of inconsistency, and this creates tension for many people.

9 o’Clock: Competitive

- Unrealistic standards of performance are frustrating.
- Lots of people are under stress because they have to maintain a high level of performance.
- People have to perform in ways that do not threaten those above them (who are likely to be competitive).
- Managers change their expectations depending on what they have to do to “win.”
- People often do not know what is expected of them.

10 o’Clock: Perfectionistic

- Goals that are too hard are frustrating rather than motivating.
- People’s health may be jeopardized because of the demands.
- People may feel their effort is greater than the reward, which may lead to rejection of the organization’s goals.
- There is a great deal of stress.
- The organization may look efficient but may not be effective.
- It may be hard for the organization to adapt and get the most from its employees.
- People work hard but not up to their potential.

Constructive Styles

11 o’Clock: Achievement

- People feel the organization is very effective.
- People take pride in the quality of the work.
- There is a high level of client satisfaction.
- People are generally satisfied.
- People get clear expectations.

Sources: Robert A. Cooke and J. Clayton Lafferty, *Organizational Culture Inventory*[®], Plymouth, MI: Human Synergistics[®] International, 1989, and Janet L. Szumal, *Organizational Culture Inventory[®] Interpretation & Development Guide*, Plymouth, MI: Human Synergistics[®] International, 2003. Copyright © by Human Synergistics[®] International. Adapted by permission.

- People are expected to behave in ways that achieve goals.
- Goals are clear and understood.
- Messages are consistent.
- People feel like they fit in without having to do anything different from their own style.
- Motivation is high.
- People want to work to their best.

12 o’Clock: Self-Actualizing

- People feel like they fit in.
- People are very satisfied.
- People see opportunities for growth.
- People are highly motivated.
- People see others as working up to their potential.
- Teamwork and cooperation are high.
- People feel they can rely on one another.
- Mistakes do not have to be covered up due to fear.
- Problems are effectively solved.
- People are innovative and contribute ideas.
- The organization can adapt easily to change.

1 o’Clock: Humanistic-Encouraging

- There is a high level of satisfaction.
- People feel like they fit in.
- People plan to stay with the organization.
- They feel comfortable with how they are expected to behave.
- There is a high level of motivation.
- Members are involved in problem solving that is satisfying to all.
- People see the whole and not just the parts.
- People take pride in the work and services.

Sources: Robert A. Cooke and J. Clayton Lafferty, *Organizational Culture Inventory*[®], Plymouth, MI: Human Synergistics[®] International, 1989, and Janet L. Szumal, *Organizational Culture Inventory[®] Interpretation & Development Guide*, Plymouth, MI: Human Synergistics[®] International, 2003. Copyright © by Human Synergistics[®] International. Adapted by permission.

2 o’Clock: Affiliative

- There are strong positive feelings toward the organization and others.
- People understand what they have to do to fit in and are comfortable doing it.
- Everyone benefits from a great deal of communication, cooperation, and teamwork.
- Managers get timely, accurate information as a result of upward communication.
- Affiliative organizations tend to be effective organizations.
- Affiliative organizations have to be careful that they balance the concern for employee satisfaction with productivity.

Sources: Robert A. Cooke and J. Clayton Lafferty, *Organizational Culture Inventory*[®], Plymouth, MI: Human Synergistics[®] International, 1989, and Janet L. Szumal, *Organizational Culture Inventory*[®] *Interpretation & Development Guide*, Plymouth, MI: Human Synergistics[®] International, 2003. Copyright © by Human Synergistics[®] International. Adapted by permission.

Appendix E

Sample Agenda for the Kickoff Meeting



APPENDIX E

Sample Agenda for the Kickoff Meeting

A PowerPoint presentation to accompany this agenda is available for downloading from the National Institute of Corrections (NIC) Web site, www.nicic.org, and included as appendix F of this guide, which can be copied for use as handouts during the presentation. The presentation covers the history of the project that led to this guide, organizational culture, the *Organizational Culture Inventory*[®] (OCI), strategic planning and management, and the Rubik's Cube[®] Models of Organizational Culture, Strategic Planning, and Strategic Management. Cross-references to the PowerPoint slides are noted in the agenda.

Notes: NIC recommends using an NIC-trained facilitator for this meeting and to guide your planning process overall. You and your facilitator can adjust the times in the following agenda as needed, but please make sure that you accomplish all the work outlined.



Day 1

8 a.m. Warden/administrator welcome.

8:15 a.m. Appreciative interview (in pairs): This is an interview, not a dialog. That is, one person asks the other the following questions but does not engage in conversation.

- When is/was our facility at its best?
- When are/were you, individually, at your best at work?

This process is a monolog rather than a dialog. One monolog lasts for 5 minutes, after which the interviewer becomes the interviewee. After both persons have had the chance to respond to the questions, the facilitator asks each pair of participants to identify common themes in their monologs and then to share them with the whole group. The facilitator records the responses on easel paper and then explains the purpose of the exercise in the context of strategic planning.

8:50 a.m. If using an outside facilitator, that person introduces himself/herself, what he/she brings to the work, and his/her role in the planning process.

8:55 a.m. Explanation of the purpose of the meeting—project history and the work of the project (slides 1–6).

Explanation of why the facility leadership has decided to use this process of planning and culture examination.

Note: Tell attendees they will prepare a report for the rest of the staff about today’s meeting if there is time.

9:30 a.m. Participants complete the “Strategic Planning Readiness Checklist.”

Discussion in the large group. If this checklist was completed by facility leaders and others prior to this meeting, share their results with the group after the participants have completed it.

9:45 a.m. Break.

10 a.m. Small group discussion: If planning were to be done in the way you would want it to be done to create the future you want for your facility, what would the process look like?

Large group discussion.

10:45 a.m. Presentation on facility culture (slides 7–9), the Cube® Model of Organizational Culture® (slides 10–20), and the Human Synergistics® International *Organizational Culture Inventory*® (OCI) (slides 21–25).

- Ask participants to complete the OCI. (See appendix D for guidelines on administering and processing the OCI with this group.)
- Score and discuss the results. (**Note:** As soon as you can, tally the results and draw the “clock” showing the scores for the group as a whole.)
- Explain the Rubik’s Cube® Model of Organizational Culture and how it relates to strategic planning.

Day 1 [continued]

- Question and answer (Q&A) session to build understanding.
 - Discussion: How will doing strategic planning and culture examination benefit the facility?
- 12 noon Lunch.
- 1:05 p.m. Warden/administrator gives presentation on the data-gathering work that has been done. If this included a formal process of administering the OCI to a random sample of staff and conducting interviews and focus groups, the results should be shared with the group. Discuss the results of both OCI “clocks” (that of the staff who completed it prior to the organizational meeting and the composite clock of this group) with regard to what they say about the current culture of your facility. Ask the group to explore the similarities and dissimilarities between the two composites.
- 1:50 p.m. Presentation on the strategic planning model and process (slides 26–47):
- Define strategic planning with strategic thinking at the core.
 - Relate strategic planning to strategic management and remind the group of the interdependent relationship of strategic planning and management and exploring the facility’s culture.
 - Explain how Rubik’s Cube® represents the planning process. (See also chapter 5.)
 - Use the diagram in chapter 5 to show the flow of work.
 - Go through the purpose and questions for the core and each side of the Cube® model.
 - Introduce the process manager and explain that person’s role and responsibilities.
- 2:50 p.m. Break.
- 3 p.m. Q&A and concerns session. (First in small groups, then together.)
- 3:25 p.m. Selection of teams:
- Allow participants to select the team on which they want to work. (However, each team needs a mix of personnel representing various departments, levels of hierarchy, length of tenure, and so forth.) If a good mix of staff does not happen when participants self-select teams, ask if some of them will reconsider their choice.
 - After the teams form, ask them to develop a list of traits desired in a team facilitator, to be shared with the whole group.
 - Ask each team to report its list of facilitator characteristics. Distribute the list of facilitator characteristics found in “Criteria for the Process Manager and Facilitators” in chapter 6 and see how the teams’ lists coincide with the one from this guide. Ask them to comment on where they see important differences.

Day 1 (continued)

- Have the teams reconvene in their groups to:
 - Select a facilitator.
 - Discuss how to get additional team members.
 - Identify several possible dates, times, and locations for their first meeting. Explain that the warden/administrator, team facilitators, and process manager will meet as a group following the organizational meeting and will finalize the dates of each team's first meeting at that time.
 - Establish the agenda for first team meeting. (See the guidelines under "First Team Meeting," page 95.)
 - Identify work to be accomplished before the first meeting (e.g., reading the manual in greater depth, recruiting additional team members, deciding which parts of the manual they would like potential team members to read, and photocopying those sections).
 - Determine how to get coverage for team meetings.

4:25 p.m. Announce the training session on day 3 for the warden/administrator, team facilitators, and process manager.

Teams report back to the entire group on the results of their individual meetings.
Group discussion. (If necessary, especially if the group seems tired, move this discussion to day 2).

4:50 p.m. Summary, thoughts at the end of day 1.

Homework: Participants review the guide.

Day 2

- 8 a.m. Facilitator fields questions from day 1 or about material from the guide.
(If all teams did not have an opportunity to share the results of their conversations at the end of day 1, complete that process before moving forward.)
- 9 a.m. Teams meet to discuss the following questions. Ask each team to select someone to facilitate the discussion.
- What might help us do the best work?
 - What might stand in the way of our doing the best work?
 - What do we need to do the best work?
- 10 a.m. Break.
- 10:30 a.m. Large group: Teams share decisions/responses to the discussion questions.
- Discuss organizational/process issues.
 - Discuss preliminary communications plan for whole facility.
 - How and when to communicate.
 - How to get real input.
 - How to give feedback (e.g., strategic planning center, electronic communications newsletter).
 - How to get offender input.
 - How to get stakeholder input.
 - How to communicate among teams.
 - How and when to schedule facilitator meetings.
- Note:** Prepare a report on this discussion for the facility.
- 11:35 a.m. Lunch.
- 12:45 p.m. Presentation about change and leadership as they relate to strategic planning, management, and response. (Use the material in section 2 of this guide as a framework.)
Discussion.
- 1:30 p.m. Additional presentation as prompted by the discussion. Potential topics include teambuilding, Senge's five disciplines (slides 45 and 46; see also chapter 3, "Building Culture: A New Approach to Strategic Planning and Management"), and building community beyond the people in the room.

Day 2 (continued)

- 2 p.m. Explanation of the strategic management model and process (slides 48–70).
Q&A and clarification.
Discussion: Should we use the same teams for working on the strategic management model? If not, how will we get new teams and organize their work? Shall we leave this decision until we are well into the strategic planning work?
- 3 p.m. Discussion of how to keep the work moving.
- Make small changes while you plan.
 - More about communication.
- Review of both composite OCI clocks (this group's and that of the staff who completed the inventory during the data-gathering process prior to this meeting) with regard to planning and managing strategically, building community in the facility, and increasing communication throughout the facility.
- 3:30 p.m. Questions, request for feedback on how participants are feeling and what they are thinking.
Next steps and summary. Announce the time of the training session being held the next day for the warden/administrator, team facilitators, and process manager.

Day 3

Note: This session is for the warden/administrator, process manager, and team facilitators. You may also want to include the paperwork coordinator.

- Discuss the role of the team facilitators and process manager.
- Review the guide—perhaps page by page, section by section—to be sure everyone is familiar with all it contains. Decide which sections of the guide all team members should read.
- Conduct a question and answer session.
- Ask each facilitator to share the date(s) and time(s) his/her team proposed for its first meeting and to finalize the timeline for these meetings. (The team facilitators and/or the process manager may decide it makes sense for one team to begin its work before the others. For example, the team working on side 1, “Setting the Stage,” might begin first and then provide information to the other teams.)
- Determine the date for the facilitators to meet as a group with the process manager (see “First Coordination Meeting” in chapter 6). The warden/administrator might choose to attend this meeting as well.
- Discuss the role of the warden/administrator as the primary motivator and supporter.
- Review the section of the PowerPoint presentation that deals with strategic management (slides 48–70). Discuss preliminary ideas for how to conduct the strategic management work.
- End with a discussion of how the warden/administrator, process manager, and team facilitators are feeling about the work ahead and what hopes and concerns they have about the work and their roles in it.
- Set a tentative schedule for the outside facilitator(s) to return to the facility, and establish a plan for ongoing communication between the facility and outside facilitator(s).

Appendix F

PowerPoint Presentation for the Kickoff Meeting



Building Culture Strategically

A Team Approach for Corrections

1

Background

- This work is part of the National Institute of Corrections' (NIC's) Institutional Culture Initiative.
- The purpose of the initiative is to help facilities identify and, where necessary, change aspects of their culture that might be contributing to ongoing problems.
- NIC entered into a cooperative agreement with Carol Flaherty-Zonis Associates to develop models of strategic planning and management and culture examination.

2

Why This Approach?

- To have a model and process that are dynamic, flexible, inclusive, unique, and built on Peter Senge's principles of a learning organization.
- To overcome the disconnect between planning and daily operations.
- To develop strategic thinking throughout the facility.

3

Why This Approach?

- To bring to the forefront examination of culture, leadership, management, and change.
- To make the process of planning meaningful—really meaningful.
- To build a safer, more secure and collaborative environment.
- To excite people about planning and managing in new ways.

4

You Will Have

- A plan—with everything that includes.
- An understanding of the work and widespread commitment to it.
- An understanding of the current staff and offender cultures and of how to develop the culture you need to accomplish your mission and goals.
- A more collaborative environment.

5

You Will Have

- Integration of your strategic plan into the daily management of the facility.
- More people thinking strategically, watching for opportunities and challenges, and thinking about how to deal with them.
- Enhanced organizational communication.
- Emergence of potential leaders.
- Hopefully, a more safe and secure environment and improved quality of life for staff and offenders.

6

Organizational Culture

- The values, assumptions and beliefs people hold that drive the way they think and behave within the organization.
- In correctional settings, there are two significant cultures:
 - Staff culture
 - Offender culture

7

Organizational Climate

- How the culture feels to the people who work for the organization.
- Organizational climate is made up of characteristics people can observe and hear.



8

Default Cultures

The cultures that fill the vacuum when leaders do not attend to shaping the formal culture.



9

Rubik's Cube® Model of Organizational Culture®

Rubik's Cube®



10

Rubik's Cube® Model of Organizational Culture®

Six components of a facility's culture:

- Leadership styles.
- Management styles.
- History of the facility.
- Interpersonal relationships.
- Environment outside the facility.
- Perceptions of stakeholders.

11

Rubik's Cube® Model of Organizational Culture®



12

Rubik's Cube® Model of Organizational Culture®

Leadership

- How does the facility leadership affect your culture and vice versa?
- What are the leaders' visions?
- What values does the leadership hold?

13

Rubik's Cube® Model of Organizational Culture®

Management Styles

- How effective is your performance appraisal process for individual and organizational growth?
- Who plans, and how are staff involved?
- What is the relationship between management and staff?
- What are the values of effective management in your facility?

14

Rubik's Cube® Model of Organizational Culture®

History

- What have been your culture's values?
- What are the stories people tell?
- Who are the storytellers?
- Who are the heroes/heroines and why?

15

Rubik's Cube® Model of Organizational Culture®

Interpersonal Relationships

- Is there a team spirit?
- How are decisions made and by whom?
- How does communication occur?
- How are people coached to grow and develop?
- What values are held about working relationships?

16

Rubik's Cube® Model of Organizational Culture®

Environment Outside the Facility

- Who has an impact on your culture? How?
- What aspects of your environment are most important to the culture? Why?
- What are the values about the relationship with the community?

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Rubik's Cube® Model of Organizational Culture®

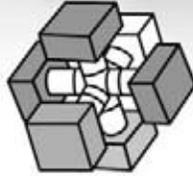
Perceptions of the Stakeholders

- What perceptions and values do the stakeholders hold about your facility?
- What perceptions do people in your facility hold about the stakeholders?
- What are the values held about the stakeholders?

18

Rubik's Cube® Model of Organizational Culture®

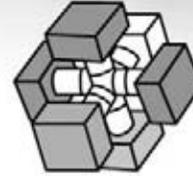
Gears inside Rubik's Cube® allow its sides to turn.



19

Rubik's Cube® Model of Organizational Culture®

Like the gears of Rubik's Cube®, values, assumptions, and beliefs are at the core of the six components of organizational culture.



20

Organizational Culture Inventory® (OCI)

- Developed by Human Synergetics International (www.humansynergetics.com).
- Used by the FAA, Navy, international companies and organizations, and in a number of departments of corrections.
- Examines how people are expected to behave in an organization.

SOURCE: R.A. Cooke and J.C. Lafferty, Organizational Culture Inventory® (Plymouth, MI: Human Synergetics® International, 1983, 1986, 1987, 1989), Copyright 1989 by Human Synergetics® International. Adapted by permission.

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Organizational Culture Inventory®

The "Clock." The OCI circumplex, or "clock," is divided into 3 main sections:

- Passive/Defensive Styles (3–6).
- Aggressive/Defensive Styles (7–10).
- Constructive Styles (11–2).

SOURCE: R.A. Cooke and J.C. Lafferty, Organizational Culture Inventory® (Plymouth, MI: Human Synergetics® International, 1983, 1986, 1987, 1989), Copyright 1989 by Human Synergetics® International. Adapted by permission.

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Organizational Culture Inventory®

Passive/Defensive Cultures

People are expected to:

- Seek approval.
- Act cautiously.
- Avoid situations that might result in conflict.
- Not take risks.
- Not rock the boat.

Emphasis on concern for what other people are doing.

SOURCE: R.A. Cooke and J.C. Lafferty, Organizational Culture Inventory® (Plymouth, MI: Human Synergetics® International, 1983, 1986, 1987, 1989), Copyright 1989 by Human Synergetics® International. Adapted by permission.

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Organizational Culture Inventory®

Aggressive-Defensive Cultures

People are expected to:

- Fight other people's ideas and resist change.
- Exercise power and try to limit other people's power.
- Be competitive.
- Work to never make mistakes and point out others' mistakes.

Emphasis on accomplishing the work.

SOURCE: R.A. Cooke and J.C. Lafferty, Organizational Culture Inventory® (Plymouth, MI: Human Synergetics® International, 1983, 1986, 1987, 1989), Copyright 1989 by Human Synergetics® International. Adapted by permission.

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Organizational Culture Inventory®

Constructive Cultures

People are expected to:

- Achieve their potential.
- Be kind and encourage others.
- Operate with a team spirit that encourages a sense of belonging.

Emphasis on creating satisfaction in the work environment.

SOURCE: R.A. Cooke and J.C. Leffery, Organizational Culture Inventory® (Plymouth, MI: Human Synergetics® International, 1993, 1996, 1997, 1999). Copyright 1999 by Human Synergetics® International. Adapted by permission.

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Building Culture Strategically

Being Strategic Means:

- Creating the future, using the strengths of your past.
- Creating the vision and summoning the energy to achieve it.
- Leading and managing to improve the quality of life in your facility.

26

Building Culture Strategically

Being Strategic Means:

- Planning how to react to move you closer to your mission and vision.
- Understanding why you do what you do and how you do it.
- Helping you achieve your potential as individuals and as a team.

27

Building Culture Strategically

Strategic Thinking

- At the core of the work.
- Needed to make planning come alive every day.



28

Building Culture Strategically

Strategic Thinking

- Constant awareness of the **context** of internal and external factors affecting your choices.
- Recognition of the **consequences** of your decisions/actions in the short and long term.
- Understanding of the **connection** between decisions and the achievement of the organization's mission, vision, values, and goals.
- **Conscious intent** to seek to transform challenges into opportunities.

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Building Culture Strategically

Strategic Planning

The work an organization does to:

- Look at its current reality.
- Design its future.
- Detail the most effective ways to achieve that future.

All in the context of its culture and internal environment and the external environments with which it interacts.

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Building Culture Strategically

Strategic Planning Asks

- Where are we now?
- What is the current environment in which we operate?
- Where are we going/where do we need to go?
- How do we get there?
- How will we know when we have gotten there?

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Building Culture Strategically

Strategic Planning Through Building Culture Asks

Three additional questions:

- What is the current culture of our facility?
- What does the culture need to be to move us toward accomplishing our mission and vision?
- How will we bring change where it is necessary?

Remember that the overall facility culture includes both the staff culture and the offender culture.

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Building Culture Strategically

Strategic Planning

- Provides a **framework** and **context** for action now and in the future.
- Creates a **vision** and **summons the energy** to achieve it.
- Provides **tools** to adjust to current events and to shape the future.

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Building Culture Strategically

Strategic Planning

- Is an **ongoing process** of application, implementation, monitoring, evaluation, and planning, not a single event.
- Engages people from all levels of an organization in **learning together**.

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Building Culture Strategically

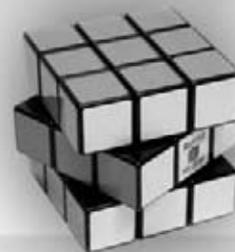
Strategic Planning

- Is, at a minimum, about **crafting a strategic direction and strategies** that:
 - Foster commitment.
 - Set the course of work.
 - Create the context for the work.
 - Set the tone of the work environment.

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A New Model of Strategic Planning

Setting the Stage	Identifying Strategic Issues	Charting the Future
Crafting Strategies	Bringing Strategies to Life	Sustaining Change

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Strategic Thinking: The Core of the Cube®

Clarify what strategic thinking means in your facility, how it can be encouraged, and the impact it will have on how the facility works.



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Setting the Stage

Identify all that is necessary to encourage strategic thinking and assure effective facilitywide planning in the context of your facility's culture and its external influences.

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Identifying Strategic Issues

Identify—

- The challenges your facility faces.
- The core competencies and values necessary to meet those challenges.
- Several strategic issues the facility needs to address.

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Charting the Future

- Create perspective and context for the planning work.
- Set the vision for the future.
- Prepare for change.

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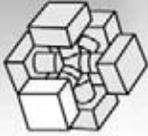


Crafting Strategies

- Examine the effectiveness of the current culture, programs, and services.
- Identify what needs to change.
- Consider how to assess the changes that planning creates.

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Bringing the Strategies to Life

- Establish goals and objectives.
- Consider ways to bring strategic thinking into daily operations.
- Assure and assess progress toward meeting the goals.

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Sustaining Change

Explore ways to—

- Involve all stakeholders in ensuring success.
- Monitor and share information about progress.
- Build on what you learn and do successfully.

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The Learning Organization

Peter Senge's concept of an organization in which:

- People continually expand their capacity to create the results they want.
- New and expansive patterns of thinking are nurtured.
- Collective aspiration is set free.
- People continually learn how to learn together.

SOURCE: Peter Senge, *The Fifth Discipline*. New York: Doubleday Currency, 1990.

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The Learning Organization

Five "Disciplines"

- Developing **personal mastery**.
- Exploring **mental models**.
- Encouraging **team learning**.
- Creating a **shared vision**.
- Fostering **systems thinking**.

SOURCE: Peter Senge, *The Fifth Discipline*. New York: Doubleday Currency, 1990.

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The Learning Organization

Systems Thinking

Encompasses **strategic thinking**:

- Context
- Consequences
- Connectedness
- Conscious intent

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Building Culture Strategically

Strategic Management

The way in which people make decisions and act on a daily basis, taking into account:

- The organization's culture.
- The internal and external environments with which the organization interacts.
- The strategic plan that directs the organization's work.

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Building Culture Strategically

Strategic Management Asks

- What patterns do we see and what patterns are emerging?
- What are the environments in which we work and how can we best work within them?
- How does our work reflect and affect the mission, vision, values, and goals of the facility and the department?

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Building Culture Strategically

Strategic Management Asks

- How can we best use our resources to build systemic change and an effective, efficient facility?
- How do we ensure all staff have the capacity to do their jobs successfully, deal with offenders effectively and fairly, and accomplish the mission, vision, and goals?

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Building Culture Strategically

Strategic Managers Understand

- The mission, vision, goals, and culture of an organization.
- The skills and knowledge an organization has and needs to achieve its goals.
- The internal and external environments in which people in the organization function.

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Building Culture Strategically

Strategic Managers Understand

- Ways to develop the skills and knowledge of the management and staff.
- Methods of adapting to internal and external environments, especially as they change.

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Building Culture Strategically

Managing Strategically Requires

- Knowing the importance of operating within the organization's larger plan.
- Making decisions and addressing challenges in the context of the values and mission of the organization as defined in the strategic plan.

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Building Culture Strategically

Managing Strategically Requires

- Being willing and able to assess a variety of options.
- Identifying the benefits and risks of decisions.
- Deciding how and when to use selected resources to achieve well-defined outcomes.

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Building Culture Strategically

Strategic Response

Actions people take to deal with people and events that reflect their understanding of:

- The mission, vision, and goals of the organization.
- Their responsibilities in fulfilling them.
- The impact of their actions on the system as a whole, now and in the future.

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Building Culture Strategically

Strategic Response Asks

- How will my/our response affect other aspects of the facility?
- How will my/our response move us toward the mission, vision, and goals?
- What are the short- and long-term consequences of my/our response?

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Building Culture Strategically

Strategic Response Asks

- What information do I/we have or need to get in order to respond?
- What do I/we understand about this situation that can inform my/our response?
- Why is this situation happening?
- What can I/we learn from this situation and my/our response?

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Building Culture Strategically

Organizational Culture

The values, assumptions, and beliefs people hold that drive the way they think and behave within the organization.

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Building Culture Strategically

Strategic Thinking

- At the core of the work.
- The engine that drives strategic management.



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Building Culture Strategically

Strategic Thinking

- **Constant awareness** of the internal and external factors affecting your choices
- Recognizing the **consequences** of decisions and actions in the short and long term.

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Building Culture Strategically

Strategic Thinking

- Understanding the **connection** between decisions and the achievement of the organization's mission, vision, values, and goals.
- Consciously** seeking to transform challenges into opportunities.

Strategic thinking is systems thinking.

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A New Model of Strategic Management

Strategic Management and Culture	Strategic Management and Mission	Strategic Thinking & Business We're In
Strategic Management & Leadership	Strategic Thinking, Decisions, & Change	Strategic Management of Resources

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Rubik's Cube® Model of Strategic Management®

Strategic Thinking: The Core of the Cube®

Explore how strategic thinking can be incorporated into the daily operations of the facility.



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Rubik's Cube® Model of Strategic Management®



Strategic Management and the Facility's Culture

Examine the current culture and subcultures in your facility and how they influence management and decisionmaking.

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Rubik's Cube® Model of Strategic Management®



Strategic Management To Accomplish the Mission

Search for ways to ensure accomplishment of your facility's mission on a daily basis, by keying in to the internal and external challenges and threats you might face and developing strategic responses to them.

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Rubik's Cube® Model of Strategic Management®



Strategic Thinking and the Business We're In

Examine the work you do and how you do it in the context of your stakeholders and your vision.

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Strategic Management and Leadership

Examine your facility's formal and informal leadership and the management and supervision of staff and offenders with regard to the capacity to manage and respond strategically.

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Rubik's Cube® Model of Strategic Management®



Strategic Thinking, Decisionmaking and the Process of Change

Consider what is necessary to begin and sustain the process of individual and organizational change that allows for strategic management and response throughout the facility.

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Rubik's Cube® Model of Strategic Management®



Strategic Management of Facility Resources

Examine your facility's use of all its resources and their capacity to contribute to the strategic management of the facility.

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Appendix G

Literature Review





Literature Review

Strategic planning is not a new concept although the process has taken on different looks over time. Military and political leaders have always had to plan strategically. To be successful, they (or their superiors) had to have a vision, a mission, values that guided them, a plan of action (both a strategy and the tactics to accomplish it), resources to put the plan into action, and ways to measure success or defeat.

Strategic planning entered the private sector (with General Electric leading the way) in the 1950s, long before much of the public and nonprofit sectors saw its potential. The popularity of strategic planning grew through the 1970s, as businesses realized they could not plan for the future solely by extrapolating from the past. For a variety of reasons, strategic planning then fell out of favor, only to be revived in the 1990s.

Different schools of strategic planning have developed over time, each with a different emphasis. For some time, the focus was on quantitative analyses and forecasting in developing an organization's plan. At another point, the emphasis was on analyzing the strengths, weaknesses, opportunities, and threats an organization faced (known commonly as the "SWOT" analysis) and developing strategies to deal with them. Later, the focus of strategic planning became identifying and addressing stakeholders' needs, defining core competencies, and planning to be highly competitive in the marketplace.

In the 1990s, the purpose and process of strategic planning centered on organizational transformation and reengineering. Today, with the rise of globalization and a new emphasis on employee involvement, the intent of strategic planning has again changed, to a focus on the need for organizations to be flexible, adaptable, nimble, and attuned to their environments (including stakeholders and the competition).

This review briefly summarizes the tenets of 10 schools of thought on strategic planning, highlighting the elements of each school that factor into the Rubik's Cube® Model of Strategic Planning® set forth in this guide. The review also discusses several sources of information on planning and assessment.

Schools of Strategic Planning

Mintzberg and colleagues (1998) define 10 schools of strategic planning that fall within 3 groups. The first group comprises those approaches that are prescriptive in nature, meaning they are “more concerned with how strategies *should* be formulated than with how they necessarily *do* form” (Mintzberg, Lampel, and Ahlstrand, 1998: 5). Prescriptive approaches require structured planning, conscious development of strategies, strong leadership that can maintain control of a relatively simple planning process, and an ability to predict the future. The prescriptive approaches to strategic planning include the following:

- **Design School:** Emphasis on strategy formation as an informal process of conception; popular in the 1960s and 1970s.
- **Planning School:** Emphasis on strategy formation as a formal, systematic process; popular in the 1970s and 1980s.
- **Positioning School:** Emphasis on strategy formation as an analytical process focusing on the content of strategies and the choice of strategic positions in the marketplace; popular in the 1980s and 1990s.

The second group consists of planning approaches that are more concerned with how strategies are actually established. These approaches, which are more descriptive in nature, gained popularity in the 1990s. They include the following:

- **Entrepreneurial School:** Emphasis on strategy formation as a visionary process, usually by a leader.
- **Cognitive School:** Emphasis on strategy formation as a mental process, usually in a leader’s mind.
- **Learning School:** Emphasis on strategy formation as an emergent process—that is, one in which strategies emerge as an organization learns in a complex world. This approach is continuing to grow in popularity.
- **Power School:** Emphasis on strategy formation as a process of negotiation among internal groups and with external stakeholders.
- **Cultural School:** Emphasis on strategy formation as a collective process based in the culture of an organization.
- **Environmental School:** Emphasis on strategy formation as a reactive process (i.e., reactive to the external environment).

The third approach to strategy formation is the **Configuration School**, which considers strategy formation to be a process of transformation that also maintains the stability of the organization.

Prescriptive Approaches

The Design School

The main elements of the Design School model, which emerged in the 1960s, predominantly at the Harvard Business School, include the following:

- Examination of the external and internal environments.
- Identification of internal strengths and weaknesses and external opportunities and threats (SWOT analysis).
- Identification of the organization's competencies and the factors that contribute to its success.
- Development of strategies in the context of the organization's social responsibility and its values.
- Evaluation of strategies and the decision about which strategy will be most effective.
- Implementation of strategies.

The SWOT analysis is the major component of this approach to strategic planning. Some authors include the organization's values in the examination of its internal strengths and weaknesses. The external environment consists of technological, economic, governmental/political, legal, and social realities. The information gathered is then used to identify and evaluate strategies and develop a plan that best fits the organization's internal and external environments. Following are some premises of the Design School:

- Planning and formulating a strategy should result from a "deliberate process of conscious thought" (Mintzberg, Lampel, and Ahlstrand, 1998: 29). Usually this process is not organizationally intuitive. The plan develops as a result of structured thinking about the organization's SWOT and not as a result of learning what an organization does.
- The top leader in an organization is the chief strategist or architect. The role of other managers and staff is limited to providing information.
- The planning process is simple, informal, and leads to explicit strategies.
- Since the focus is on the process of how strategies develop, there is little to be said about the content of the strategies.
- When strategies are formulated and formalized, the plan is complete. There is little or no opportunity for strategies to emerge as the plan is implemented.
- Strategies are to be implemented only after the plan is formulated. This creates a separation between thinking and acting and between the thinkers and those who perform the work.

- This school represents the classic “form follows function” approach. It suggests that an organization’s structure develops as an outgrowth of its strategies.
- The case study approach developed by the Harvard group is often used to study a problem and then develop a plan.

The Planning School

This approach to planning is formal and relatively inflexible. According to Mintzberg and colleagues, the central idea of the Planning School is that “analysis would provide synthesis” (Mintzberg, Lampel, and Ahlstrand, 1998: 57). This model breaks the work of planning into small pieces and then brings the pieces together in the final strategic plan. The process is linear and top down. Analysis and synthesis are performed by planners—people in the organization who are responsible for the planning function—and then the plan is implemented. The planners report to the leader, whose final approval is essential. “Planning” and “doing” are conceived of as separate functions, and planners and workers are separate and unequal. The model does not allow for ideas to “bubble up” through the organization and leaves little room for adaptation or for emergent strategies (i.e., strategies that emerge as people do their work). Instead, the work is deliberate and structured, culminating in “the plan.”

The steps of the Planning School process are typical of the strategic planning processes many organizations use:

- Planning to plan.
- Setting goals and objectives.
- Scanning the internal and external environments.
- Identifying strategies to accomplish the goals.
- Developing long- and short-term strategies, programs (action plans), and budgets.
- Creating the final comprehensive plan.

The premises of the Planning School are that the future can be predicted by looking at the past; that because the future can be predicted, it can be planned for; and that once the plan is completed, all that is necessary is to implement it. Whereas the Design School commonly uses case studies, the tool of choice for the Planning School is often the scenario. Planners develop various possible scenarios for the future, choose the one that seems most likely to occur, and then plan accordingly.

The most prominent name associated with this school of strategic planning is Igor Ansoff, whose classic work was first published in 1965. His model consists of the following steps (Ansoff, 1984):

- Analysis of the businesses in which the organization is involved.
- Analysis of a firm's prospects, identifying trends, threats, opportunities, and singular events that may change the course of historical trends.
- Competitive analysis, which identifies improvements in a firm's performance.
- Strategic portfolio analysis, through which the firm's prospects are compared, priorities are established, and strategic resources are allocated.
- Diversification analysis, which diagnoses the deficiencies in the present portfolio and identifies new business areas.
- Definition of goals, which is the performance expected from business areas and an identification of corporate capabilities that must be developed.

Although the language of Ansoff's model is business oriented, the process could be adapted for the public sector. Ansoff emphasizes both the need to define the business in which the organization is involved and to look at the relationships among all parts of the business when planning. These principles also hold for corrections. Ansoff advocates that strategic planning be "participative and interactive"; when it is not, he warns, the organization runs the risk of "paralysis by analysis" (Ansoff, 1984: 96). Because Ansoff recognizes the significance of "environmental turbulence" (1984: 205), he emphasizes the importance of organizational capability and an organization's need to recognize and take account of how it changes over time. He refers to the notion of "strategic posture" (Ansoff, 1984: 90) (strategy and capability) and its importance in understanding the current and future state of the organization. In the 1980s, Ansoff's thinking evolved to acknowledge the value of parallel planning and implementation, strategic learning, and responsiveness to an unpredictable environment.

The Positioning School

This approach to strategic planning sees the planning process in the context of competition. Because the goal of planning is winning in the marketplace, this school focuses on how to gain the strategic edge. Michael Porter, the Positioning School's most recognized leader, writes, "Knowledge of [the] underlying sources of competitive pressure provides the groundwork for a strategic agenda of action" (Mintzberg and Quinn, 1995: 88). Proponents of this school promote the idea that there is a limit to the number of strategies that can derive from a strategic planning process (a departure from the previous schools) and that the strategies must focus on gaining position in the industry. Porter and others developed a set of tools that any organization could use to analyze its position.

With its emphasis on gaining the competitive edge, the Positioning School sees strategic planning in a context similar to military strategy. The top leader and the planner must have strong analytical skills that they can use to explore different strategies, analyze the conditions encountered or

expected, and then choose the “right” strategy for the circumstances. The Positioning School strategist assesses the forces that affect competition and their underlying causes and then identifies the company’s strengths and weaknesses. With this information, the planner develops the strategies that will place the company in the forefront of the industry.

Largely due to Porter’s work and his emphasis on developing the competitive edge, the Positioning School of strategic planning grew in prominence in the 1980s. Numerous economic models and tools were developed to support this approach, which relies heavily on quantification and data analysis.

Descriptive Approaches

The Entrepreneurial School

This school of thought about strategic planning emphasizes the role of the leader and the leader’s vision, insights, intuition, and assessment of the organization’s circumstances. The leader’s view of the opportunities and threats an organization faces—his/her perspectives—are critical. This school arose as formal planning lost favor. The vision lies with the leader; the organizational structure is often simple; the organization is flexible and adaptable, changing as the leader sees change is necessary; and formal planning is less necessary than clear vision. There is little opportunity for others in the organization to contribute to the planning process, since so much of it occurs in the mind of one person.

The Cognitive School

In the 1990s, the developing understanding of how people think, process information, and make decisions influenced thought on strategic planning. The Cognitive School holds that people see their organizations and environments through mental models that serve as maps to guide their assessments of current circumstances and how they will plan for the future. The way people see the world influences what they see, what data they use, and, therefore, what they plan.

The Learning School

One of this school’s key contributions to strategic planning is its emphasis on the need for people, individually and as organizations, to continually learn and adapt. It is not enough to establish a plan and then implement it. People need to learn about the organization and its environments and change when necessary. If an organization focuses on learning, then everyone becomes part of the process of identifying strategic issues and ways to plan for them. Strategies thus emerge from many sources, especially from the people who do the work. This philosophy differs from that of the previous schools, which put a much greater emphasis on the role of the leader and the formal planner.

The premises of the Learning School are central to the Rubik's Cube® Models of Strategic Planning and Strategic Management. This school shifts the focus of strategic planning from developing programs, services, and products to developing people as valuable resources. This shift requires the organization to be more flexible; however, flexibility does not mean disorder. An organization still must have a vision and a plan, but control that is too tight may limit an organization's development and its future. Greater innovation and creativity result from encouraging more widespread involvement.

The thinking of the Learning School was influenced by the development of chaos theory in the physical sciences (Wheatley, 1999; Kuhn, 1970). Chaos theory argues that we must see systems as wholes and as ever changing. It suggests that order can lead to chaos and that from chaos there is new order. This does not mean that organizations fall apart or that leadership loses control; rather, it suggests that chaos (or perhaps just inconsistency) presents opportunities for examination and change. That is, both the plan and the planning and management processes must leave room for adaptation and emerging ideas and strategies. Although a finished plan is an essential guide, it is not the end in itself.

According to Mintzberg and colleagues, the emergence of the Learning School of thought led to serious debate in the world of strategic planning and management: "Who really is the architect of strategy and where in the organization does strategy formation take place? How deliberate and conscious can the process really be? Is the separation of formulation and implementation really sacrosanct?" (Mintzberg, Lampel, and Ahlstrand, 1998: 177).

These questions are critical to how people see and use strategic planning and management. The answers establish the foundation for the processes of planning and management, which in turn influence the level of staff involvement in the process, the capacity for organizations to shift, and the relationship between those who plan and those who do (when these functions are seen as separate aspects of the work).

The work of James Brian Quinn and his concept of "logical incrementalism" are fundamental to the thought of the Learning School (1998: 7–14). Quinn's ideas introduce a new notion about how strategies actually arise. Instead of seeing change as occurring only through a formal planning process, Quinn suggests that strategies emerge incrementally, in small steps, and from people throughout the organization.

For those who had accepted the idea that the best plans are the result of a formal planning process, this was a significant change. Although Quinn does not seriously challenge the role of leadership in planning, his work can be interpreted to mean that many organizational changes do not start at the top; instead, they "bubble up" from the people who do the work. This idea was interesting to the field of strategic planning because until then, the people who did the work every day had largely been separated from the people who formulated the plans.

Quinn does not advocate abandoning formal planning, but he does see a vital role for people other than top leadership in shaping strategy. Strategies arise as a result of people seeing inconsistencies, from having a vague sense that something is wrong to seeing a gap between where an organization is and where it wants to be. Quinn suggests that if an organization waits for what he calls a “loud noise,” it may be too late to plan and act strategically (Quinn, 1987: 18–39). In effect, organizations must keep learning from internal information systems, both formal and informal. This means that organizations must do the following:

- Motivate “a constantly changing group of people with diverse talents and interests to move together effectively in a continually dynamic environment” (Quinn, 1987: 34).
- Create awareness and commitment and build credibility.
- Give legitimacy to new ideas, encourage thinking that leads to innovation, and tap into creativity and capacity within the organization.
- Broaden political support within the organization, building coalitions and consensus and overcoming opposition and indifference.
- Encourage “champions” to arise and realize that they have power to bring change.
- Recognize the significant role of middle managers as conduits for and developers of new ideas, forming a bridge for new ideas from staff to management.
- Recognize leadership’s role in fostering strategic learning throughout the organization.
- Operate with “planned flexibility,” which requires proactive searching for threats and challenges, helping people develop so they can take advantage of opportunities, expediting decisionmaking processes so the organization can move when needed, and creating “resource buffers” to respond quickly and effectively as needed.
- Recognize that strategies are continually evolving and emerging.
- Constantly and consciously reassess capacity and the organization’s needs within its environment.
- Use formal analytical techniques and see new patterns, consider implications for new strategies or current positions, and use forecasting models and scenarios (to consider all potential alternatives, solutions, and outcomes).
- Realize that the formulation of strategy and implementation are integrated steps.
- Learn by doing so that planning and action are not separate functions.

The work of Senge (1990), Sayles (1998), and Hamel and Prahalad (1998) is also important to the thinking of the Learning School. Elaborating on the

concept of organizational learning, these authors focus attention on organizational core competencies and strategic intent as critical to strategy formulation (Mintzberg, Lampel, and Ahlstrand, 1998; Mintzberg and Quinn, 1995). Strategic intent sets direction and can help to motivate staff to an organization's cause.

Although the Learning School emphasizes the role of individual and organizational learning and the developing of capacities essential to the health of an organization, it does not deny the importance of leadership. Leaders are responsible for observing patterns, making sense of what they learn from others in the organization, and recognizing themes and opportunities. Another role of the leader is to advocate for strategies and resources. Top leadership is still in some control of the planning process, in part because it establishes the organizational structure and systems that encourage or discourage developing and advocating for ideas. Leadership is also responsible for encouraging strategic thinking and learning—which, in turn, inform decisionmaking and action—throughout the organization.

The Power School

One premise of this school is that organizations are composed of people and groups with competing interests, needs, and world views. Formulating strategic plans is therefore an act of negotiation among the organization's constituents, rather than the design of one leader (as in the Entrepreneurial School) or the ideas of the formal planners (as in the Planning School).

For the Power School, it is important to learn about and understand stakeholders' perspectives and to find ways to incorporate them successfully. Therein lies the challenge. The politics of an organization come into play as people work to influence the plan and the planning process.

The Cultural School

The Cultural School introduced a significant shift in perspective from earlier schools that focused primarily on leaders and planners. In some ways, this school is the opposite of the Power School. Whereas the Power School emphasizes the needs of individuals, the Cultural School focuses on the organization as a whole. When planning focuses on the competing needs of individuals and groups, an organization may change direction frequently and without giving much thought to what the shift might mean for the organization as a whole. Conversely, when planning focuses heavily on maintaining an organization's culture, change may be difficult to effect and sustain.

Organizational culture comprises the values, assumptions, and beliefs people in an organization hold that drive the way they think and behave within the organization and, therefore, the way the organization functions and is structured. Culture influences what people see and how they see it, both inside

and outside the organization. When a culture is strong and homogeneous—that is, when people in the organization think and act in similar ways—moving the organization strategically can be difficult. People grow accustomed to how things are, which may make it difficult for them to see and act in new ways. Therefore, when such an organization prepares to undertake strategic planning, it may be necessary to first examine the culture and bring change where it is needed before embarking on strategic planning. On the other hand, in the absence of a strong, homogeneous culture—that is, when subcultures operate under different values, assumptions, and beliefs—the success of strategic planning can depend either on establishing a common culture before planning begins or integrating the building of a common culture into the planning process.

The ideas of the Cultural School are central to the Rubik's® Cube Models of Organizational Culture, Strategic Planning, and Strategic Management. Like the other descriptive approaches to planning, the Cultural School does not offer a single process to follow; rather, this school places the work of strategic planning in an organizational context. It encourages planners to identify the organization's uniqueness and the effect of its culture on how people see the process and outcomes of their work and the internal and external environments in which the culture interacts.

When culture is brought into the planning process, planners must articulate the culture's driving forces because an organization's culture can either encourage or discourage honest examination of programs, services, and direction. The planning process, therefore, must take the culture into account. It cannot be a mechanical and generic process, as some of the earlier schools of planning proposed, but must be specific to the organization.

The Environmental School

The Environmental School acknowledges the importance of leadership and culture in strategic planning, but gives priority to responding to the environment. The Positioning School, which focuses on economics and the marketplace, and several other schools discussed above address the importance of considering an organization's environment. The Environmental School is distinguished by the belief that an organization's strategic plan represents its posture in response to the environment.

A Third Approach to Strategic Planning: The Configuration School

The Configuration School reflects the work of Henry Mintzberg and colleagues at McGill University. This school of thought is based on the premise that most organizations can be described in terms of their primary characteristics (the organization's structure, environments, expected behaviors, and strategies). Together, these characteristics constitute an organization's "configuration," or "state." Mintzberg identifies seven organizational configurations, none of which are considered inherently better than another

(Mintzberg, Lampel, and Ahlstrand, 1998). Rather, organizations have life cycles, and different configurations will be appropriate at different stages of the organization and its environment.¹

Similarly, each organizational life cycle requires different strategies, different ways to formulate strategy, and different capacities to implement strategies. Any of the approaches to strategic planning and management can be effective at different points in an organization's evolution. Organizations are most successful when they make the most of the strategies they have in place in the context of where the organization is in its life cycle and its environment.

The Configuration School holds that organizational states are basically stable until internal or external circumstances require the organization to change and “leap” to another state. The key to strategic planning and management is to maintain the organization's stability and, at the same time, recognize the need for transformation and manage the transformation:

[W]hile the process of strategy making may set out to change the direction in which an organization is going, the resulting strategies stabilize that direction. . . . The configuration school . . . describes the relative stability of strategy within given [organizational] states, interrupted by occasional and rather dramatic leaps to new ones” (Mintzberg, Lampel, and Ahlstrand, 1998: 302).

Therefore, Mintzberg and colleagues (1998: 313) see organizational change not as a piecemeal process, but as one in which many elements change at the same time—“quantum change.” This is the opposite of Quinn's logical incrementalism.

Mintzberg believes that the primary purposes for which organizations use strategic planning are to communicate and to establish and maintain control. He sees strategic planning as a process of “strategic programming” and “strategy formation” (Mintzberg, 1994: 392). Before planners can accomplish strategic programming, they must perform a strategic analysis, which leads to strategy formation and then to “the codification of given strategy (clarification of strategy so it is operational); the elaboration of that strategy into . . . action plans . . . and the conversion of those sub-strategies, programs and plans into routine budgets and objectives” (Mintzberg, Lampel, and Ahlstrand, 1998: 336–337).

Strategies are not just planned; they emerge. Mintzberg and Quinn (1995) write about “crafting strategies.” “Crafting” suggests that strategy is a result of personal involvement rather than of thinking and reasoning. This

¹ Simon and Donovan (2001) and Stevens (2001) also describe organizational life cycles and provide valuable information for planners and leaders. Simon and Donovan write that an organization experiences various states of being as it moves through different stages or life cycles. Each state has its own set of behaviors. To move from state to state requires coming loose from one state and transforming to another.

word reflects his belief that planning and doing are connected and that one cannot be separated from the other. Mintzberg and Quinn (1995: 110) use the metaphor of a potter at a wheel:

The product that emerges on the wheel is likely to be in the tradition of her past work, but she may break away and embark on a new direction. . . . In my metaphor, managers are craftsmen and strategy is their clay. Like the potter, they sit between the past of [corporate] capabilities and a future of [market] opportunities.

Composite Approaches to Strategic Planning

Some writing on strategic planning cannot easily be classified into one school or another. The work of Benjamin Tregoe and John Zimmerman reflects the thinking of both the Entrepreneurial School and the Cultural School. They concur with the Entrepreneurial School regarding the importance of vision, especially the leader's vision, in both the planning process and in sustaining the plan, but they also hold that an organization's culture affects strategy and vision. These authors warn that when strategic planning is not inclusive (i.e., does not involve people from throughout the organization) and does not connect vision to everyday actions, it can stifle strategic thinking (Tregoe et al., 1989). They also see a role for staff in implementing the strategic plan, stating that ". . . people who conceive the strategy must carry it through implementation" (Tregoe et al., 1989: 72).

C. Davis Fogg (1994) echoes an important piece of Tregoe and Zimmerman's planning process. His approach to planning includes several elements embraced by earlier schools of strategic planning: environmental analysis, market and competitive analysis, strategy formulation, organizational audit, benchmarking (comparing a company's performance to the best of others in its class), and implementation. Fogg also concurs with the need to include the people who will implement a plan in the planning process, and he further recommends a team approach to planning. He distills the planning process into a series of steps that correspond to fundamental questions for any organization:

- **Where are we now?**—Examine the organization's culture, structure, systems, and management practices:
 - Conduct internal and external assessments.
 - Identify assumptions and priority issues.
- **Where do we want to be?**—Establish mission, vision, and objectives. This work includes looking at the organization's values.
- **How will we get there?**—Establish strategies and design programs.
- **Who must do what?**—Implement the organization's plan.
- **How are we doing?**—Review.

Both Leonard Goodstein and colleagues and John Bryson draw on the work of several schools in their approaches to strategic planning. The steps in Goodstein's model (Goodstein, Nolan, and Pfeiffer, 1989, 1993) are familiar:

- Planning to plan.
- Values scan (including a stakeholder analysis).
- Environmental monitoring.
- Mission formulation.
- Strategic business modeling (defining success).
- Performance audit (assessing current programs and services; sometimes called a situation analysis [see Barry, 1986]).
- Gap analysis (examining the difference between where the organization is now and where it would be if it were successful).
- Integrating action plans (establishing goals, objectives, and budget).
- Contingency planning (looking at "what ifs").
- Implementation.

As an organization plans, it moves from one step to another using the data and other information gathered in one step to build toward the next step. Usually, someone prepares a final document that contains the work accomplished at each step or, at a minimum, the goals, objectives, and budget.

John Bryson's model of strategic planning for public and nonprofit organizations contains elements similar to Goodstein's as well as some valuable additions. Bryson's model, which he calls the "Strategy Change Cycle," consists of the following 10 steps (Bryson, 1995; Bryson and Alston, 1996: 8–9):

- Initiate and agree on a strategic planning process.
- Clarify organizational mandates.
- Identify and understand stakeholders and develop and refine mission and values.
- Assess the environment to identify strengths, weaknesses, opportunities, and threats (SWOT analysis).
- Identify and frame strategic issues (basic challenges that affect the organization).
- Formulate strategies to manage the issues (similar to goals and objectives).
- Review and adopt the strategic plan.
- Establish an effective organizational vision for the future.

- Develop an effective implementation process.
- Reassess strategies and the strategic planning process.

Bryson suggests that in assessing the external environment, planners should observe forces and trends, competitors, and “key resource controllers” (clients, customers, regulators, and payers). In assessing the internal environment, planners should examine resources (people, information, competencies, culture, and economics), performance (indicators, results, and history), and present strategy (both that of the organization overall and that of specific departments and functions).

Both Goodstein and Bryson put the work of identifying stakeholders and defining mission and vision among the first steps in the planning process. Bryson adds the step of first clarifying the organization’s mandates so that the plan will address the necessary issues and do what it is intended to do, which is especially important in the public sector. He also emphasizes the importance of building an implementation process to ensure that the organization carries out the plan and adds the step of reassessment to ensure ongoing examination of both strategy and planning. Bryson’s Strategy Change Cycle also calls for a great deal of feedback between steps, beginning with identification of strategic issues.

It is evident how the Goodstein and Bryson models of strategic planning build on the work of several planning schools. They include the SWOT analysis from the Design School, linear approach steps similar to those of the Planning School, the values work of the Cultural School, and a focus on the factors and influence of the environment from the Environmental School.

The Rubik’s Cube® Model of Strategic Planning (Cube® model) presented in this guide is a composite model. It is not a linear, step-by-step prescription of how to plan, but rather a question-based framework for strategic thinking and planning. The Cube® model draws on the Learning, Cultural, and Configuration schools and also on the work of Bryson and of Goodstein and colleagues. The model asks people both to plan and to let strategies emerge. Rather than calling a small, select group of people together to go through the steps of a planning process (perhaps at an executive retreat), the Cube® model encourages an inclusive process that draws on the strengths, knowledge, and experience of a large cross section of staff. It asks people to consider the prison culture, the environments with which it interacts, and the capacities that it both has and needs to develop. The Cube® model is designed to help people to learn together, be inclusive, work collaboratively, and think strategically.

Planning and Assessment

Assessment is one of the essential keys to effective planning. Therefore, several useful resources are included in this section.

It is important for organizations to have practical tools with which to assess their work. One valuable resource is the Kansas Community Tool Box created by the University of Kansas (<http://ctb.ku.edu>) to help communities improve their health and well-being. The Tool Box provides practical skill-building information on more than 250 topics, including step-by-step instruction, examples, checklists, and related resources. Some of the core competencies covered by the Tool Box include strategic planning, problem identification, cultural competence, assessing existing resources, creating and sustaining partnerships, and evaluation. The Tool Box also includes troubleshooting guides that offer helpful suggestions and links to resources for dealing with common dilemmas faced in this type of work.

Because the concept of logic models may be unfamiliar, the workbook *Building Results II. Aboutcomes: A Workbook for Performance Measurement* (Oregon Commission on Children and Families, 2000) is a useful resource. It is part of a series published by the Oregon Commission on Children and Families to help local communities improve the well-being of their children, youth, and families. It links research to practice using the framework of logic models and provides a method for users to define program activities and outputs and link them to achievable, measurable outcomes. The Tool Box describes performance measurement and its importance in advocating for program resources to sustain initiatives that have proven to be effective in achieving their goals.

Schmitz and Parsons (1999) concisely define logic models (which communicate the rationale behind a program or initiative) and explain how they differ from action plans (logic models are about “why” while action plans are about “what,” “who,” and “when”) and why policymakers and staff should support their use. The authors briefly outline who should be involved in the development of logic models and when they should be revised or changed.

Evaluation should never be used to make win-lose decisions about the future of programs, but rather to make constructive improvements in program implementation. This idea is important when prisons develop new programs and services or consider redesigning current approaches. Van Voorhis and Brown (1996) point out why poorly planned programs cannot and should not be evaluated and suggest strategies that can help organizations base their change initiatives on a meaningful planning process.

Statistical analysis is an essential part of program assessment. In *How To Collect and Analyze Data: A Manual for Sheriffs and Jail Administrators*, Elias (2007) explains statistical analysis and data collection procedures for jail personnel and provides a step-by-step approach to identifying both the

information needed and sources of information, preparing for data collection, implementing the collection effort, analyzing and interpreting the results, and sharing the information.

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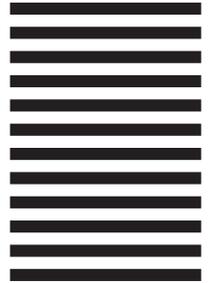
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